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**U.S. AGENCY FOR INTERNATIONAL
DEVELOPMENT**

**MANAGEMENT SERVICES
REVIEW GUIDELINES**

**Bureau for Management
Office of Administrative Services
Overseas Management Support Division (M/AS/OMS)
(October 1998)**

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

MANAGEMENT SERVICES REVIEW GUIDELINES (MSRG)

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MANAGEMENT SERVICES REVIEW GUIDELINES

I. INTRODUCTION

The "Management Services Review Guidelines (MSRG)" was compiled to provide a basic reference point for the evaluation of all segments of administrative management services at USAID missions. This document is designed for broad management assessment of the entire mission spectrum of Executive Office Support Services. It is not meant to be comprehensive, but is only a management tool that may be used by the Executive Officer and mission management to identify strengths and weaknesses. Individual authority and responsibilities vary by position as described in each position description.

The checklists reflect changes to the referenced directives and guidance as of October 1998. Amendments, changes and/or addendum to these directives received after this date will be incorporated as appropriate.

II. STATEMENT OF PURPOSE

The purpose of the review is to:

- + provide mission management with an evaluation of management services, with particular emphasis on compliance with U.S. Government regulations; and
- + provide periodic personal contact between personnel in the office of Overseas Management Support, USAID/W and mission administrative offices to promote mutual understanding of Agency policies applicable to solving any problems or concerns relating to administrative support services.

III. REVIEW GUIDELINES

Directives or source documents applicable to questions in the sections are identified in the section heading. Reference to the document are identified by a section number following that question. Some questions have no specific reference. Their existence is justified by references in general or by common sense.

Blank, lined, spaces are provided to the right of most review items. However, in some cases the requested responses: Yes, No, N/A (for not applicable), will not provide the needed or appropriate answer to the question.

The level to which you review each item will be determined individually. Obviously, responses which raise further questions will require further investigation. Also note that for questions which request a time, number, date or other such information, spaces have been provided in the text of the question or immediately following the question.

Updated references for the appropriate regulations have been included for quick access to relevant regulations.

IV GENERAL SERVICES
A REAL PROPERTY MANAGEMENT

Unless otherwise noted, all references in parenthesis refer to 6 FAM 700 and ADS Chapter 535.

A-1 <u>GENERAL</u>	<u>YES/NO/NA</u>
1. Has post established a Interagency Housing/Rent Control Board? (721,722)	___
2. If there is an Interagency Housing/Rent Control Board, does it keep written records of its meetings and decisions? (722.3)	___
3. Does post have a handbook or mission order on its housing policy? Is it updated biennially? (722.5)	___
4. Does post have an approved housing profile? (723.4)	___
5. Does post make every effort to retain appropriate housing under leases of five years or more? (723.5 b, 733.2)	___
6. Does the USAID have leases which exceed locality type housing standards? (723,731)	___
7. Does USAID own office and/or functional space property in excess of its needs? (714.2) If so, has this property been considered for other agencies' needs?	___ ___
8. Has USAID complied with the submission of the following real property reports: (715)	
- Real Estate Management System (REMS)?	___
- Real Property Inventory Report?	___
- Facility Maintenance Reporting for LTL?	___
- Cost of maintenance and operation of MD/REP's residence?	___
- Mission Director Certification of Housing Program Compliance?	___

9. Is "dedicated housing" assigned to the Mission Director within the standards for a family of four at the grade tier corresponding to the position? (724.5-2) _____
10. Do alterations, improvements and repairs ("make-ready" to short-term based properties exceed \$5,000? If so, was prior approval received from M/AS/OMS? (733.1) _____
11. Are security upgrades to U.S. Government-held and privately leased residential leases being funded by the Department of State? (717.5) _____
12. Does the mission charge for damage done by employees, their families or their pets to furnishings or buildings? (725.5) _____
13. Is a physical inspection made of Government held quarters at least 10 days before an employee permanently departs post? (725.8) _____
14. Where members of a tandem couple are employed by more than one agency and occupy short term leased space, does each agency pay its share of rent, preparation for occupancy, and operation and maintenance cost? (717.3) _____
15. When more than one agency occupies short term leased space, does each agency pay its share of operation and maintenance cost and rent? (717.2) _____
16. Are Trust Funds used to fund rent or other costs for buildings occupied only by USAID personnel? (717) _____
17. Are Employees who are scheduled to permanently depart post permitted to remain in their assigned quarters after their last day of duty? If so, is approval obtained from the Mission Director? (725.8) _____
18. Do telephone payments indicate that, only official calls are being paid for by the Government? (717.6-2) _____

19. Does USAID avoid paying taxes on U.S. owned or leased real property (717.7) _____
If not, has an attempt been made to obtain exemptions? (717.7-3) _____
20. Has post kept within advance lease payment authority? (732.6, 735.3) _____
21. Has any real property been acquired by gifts? If so, was it reported to Washington? (746.3-2) _____
22. Does the post make an annual review of real property needs? _____
23. Has U.S.-controlled real property been leased or licensed to a non-government activity? If so: (755.4)
 - a) Was a local attorney consulted before negotiations were entered into? _____
 - b) Were furnishings inventoried before leasing? _____
 - c) Was rent deposit obtained in escrow? _____
 - d) Were leases or licenses registered if required by local law? _____
 - e) Upon lease termination was notification sent to parent agency? _____
24. Has collocation waiver or exemption notification been obtained for office and functional space acquisition? (92 State 201095 and 12 FAH-5) _____

A-2 MAINTENANCE AND IMPROVEMENTS

YES/NO/NA

1. Is there a lack of reliable, reasonably priced Non-Personal Services Contractors for maintenance and custodial services available to replace any Personal Services Contractors or Direct Hire Personnel? _____
2. What is the number and employment status of maintenance personnel for the mission?
 - a) Institutional Contract? _____
 - b) Personal Services Contract? _____
 - c) Direct Hire? _____

3. Does a review of the maintenance records indicate that the U.S. Government is doing maintenance and repair on short-term leased property which should be done by the owner? (762.2-1) _____
4. Have improvements in long-term leased or Government owned properties been made only after being approved by USAID/W? (763.1) _____
5. Is there evidence that the occupant and not the Agency is paying for the care of the residential lawns and gardens? (762.2-3) _____
6. Has mission issued uniform local rules detailing occupants' responsibilities for routine maintenance of U.S. Government-held residences? Does mission prepare a written statement of employee responsibilities to be signed upon occupancy? (762.2-2, 725.8) _____
7. Has the mission established and implemented a comprehensive preventive, routine, and special maintenance program covering all facilities and major support systems? (762.1) _____
8. Does USAID periodically review utility cost to determine if usage and charges are reasonable? (717.9-2) _____
9. Has USAID avoided paying initial telephone installation cost for residences obtained through Living Quarters Allowances? (717.6-1) _____
10. (For USAID Mission Director's Residence) Has the Mission Director given prior written approval for work, other than routine maintenance and repair work that is done on his or her Official Residence? (M/AS/OMS guidance) _____
11. If renovation or alteration projects have been completed under contract, have releases been given by the contractor at the time of settlement? _____

12. Has USAID considered using Trust Funds for payment of maintenance and repair costs? (717.1) _____

A-3 LEASES

YES/NO/NA

1. Does mission have USAID/W approval for initial leases which exceed ten years? (736.2) _____

2. Have all leases with rentals in excess of \$25,000 per annum been approved by USAID/W, M/AS/OMS before signing? (732.7)
Have renewals of such leases been approved by M/AS/OMS only when the terms of the original lease have changed? _____

3. Has mission obtained approval by USAID/W, M/AS/OMS before signing leases for functional space, regardless of rental cost? (732.2) _____

4. Do all leases include the following protective provisions, or was approval for omission received from USAID/W, M/AS/OMS? (735.6)

a) The USG will not pay property insurance (735.6(1)) _____

b) The USG will not be responsible for damage occasioned to or by visitors in common areas? (735.6(2)) _____

c) A lien will not be made on Government property? (735.6(3)) _____

d) A bonus payment will not be paid for procurement of quarters? (735.6(4)) _____

e) Disputes will not be submitted to local panel or court. (735.6(5)) _____

f) The Lessee agrees to indemnify the Lessor from injury and damages which occur on the premises. (735.6(6)) _____

5. If local laws require lease registration have mission leases been registered? (737.6) _____

6. If rental agents are used, are fees paid only to licensed agents in accordance with local practice? (733.8) _____

7. Are offshore payments being made to landlords? (735.4) Has post obtained a waiver from Washington? (91 STATE 354178) _____

8. For USG leases: (737)
- a) Were basic essential provisions included? _____
 - b) Were leases correctly numbered? _____
 - c) Were leases signed by both parties and dated as of last signature? _____
 - d) Were the full name of lessor and lessee on leases? _____
 - e) Were the premises fully identified? _____
 - f) Were the basic terms of the leases for definite times? _____
 - g) Were renewal options included? _____
 - h) Are facilities furnished by the landlord listed? _____
 - i) If furnishings are leased, is each item listed with condition described? _____
 - j) Is there approval for the USG to make alterations? _____
 - k) Does the USG have the right to waive restoration? _____
 - l) Is the USG exempt from damage beyond lessee's control? _____
 - m) Is rent stipulated in local currency? (735.4) (Unless permissible under local law) _____
 - n) Are advance payments within Agency limits? (735.3) _____
- _____
- _____
9. Do leases that contain a lease/purchase option indicate USAID/W approval, and cite the approval cable? (735.8) _____
10. Are leases properly distributed, including a copy to M/AS/OMS, USAID/W? (738) _____
11. If executed leases deviate from the established model, is reason for deviation documented? (737.1) _____
12. Are lease amendments (if any) made using the proper format of exhibit? (737.2) _____
13. Do renegotiated leases include:
- a) New lease number? (737.3(a)) _____
 - b) Reference to old lease number? (737.3(b)) _____

14. Upon relinquishment of leased property, does mission prepare memorandum of termination and acquittance to be signed by both parties? (737.4) _____
 Did post obtained M/AS/OMS approval to terminate LTLs and STL functional properties? (737.4) _____

A-4 PURCHASES AND NEW CONSTRUCTION

YES/NO/NA

1. Has post submitted a real property acquisition (purchase, construct, long term lease) proposal to USAID/W, M/AS/OMS? (742, 745.2, 748.2) _____
2. Did proposal include complete documentation of acquiring the property? (745.2) _____
3. Has original or one signed certified copy of all property title documents with associated title surveys or plot plans been sent to USAID/W, M/AS/OMS? (747) _____
4. For real property purchases, did post select duly licensed, competent disinterested legal expert to prepare or approve documentation? (743.4) _____
5. For real property purchases, did post select competent engineers or surveyors for survey requirements? (743.2) _____
6. When authorized to purchase property, did mission submit an estimate of the fees for services of the local legal expert in land titles, engineer and or land surveyor, and receive USAID/W, M/AS/OMS approval before contracting for their services? (743.2) _____
7. Just after purchase, did post have local expert certify that land titles and other acquisition documents were properly registered and distributed and that all steps necessary to ensure a perfect, unencumbered title on behalf of the United States have been taken? (745.5) _____

8. Do all agreements to purchase include required provisions? (746.2)
 - a) Unencumbered "fee simple" title? (746.2(1)) _____
 - b) Payment of the purchase price is conditional upon receipt of an opinion from a disinterested expert? (746.2(2)) _____
 - c) Most complete description of property? (746.2(3)) _____
 - d) Sale subject to field verification of certain data? (746.2(4)) _____
 - e) Authority to execute agreements? (746.2(6)) _____

9. Do agreements to purchase exclude provisions not approved by USAID/W, M/AS/OMS such as:
 - a) Payment of insurance by U.S.? (746.2(5)(a)) _____
 - b) U.S. responsible for damages to persons on property adjoining purchased property? (746.2(5)(b)) _____
 - c) Submission of disputes to local court? (746.2(5)(c)) _____
 - d) Property revert to previous owner without repaying U.S. if U.S. does not improve property within specified time (746.2(5)(d)) _____
 - e) Inspection of property by non-U.S. employee? (746.2(5)(e)) _____
 - f) Servitude or easement not a direct benefit to the U.S.? (746.2(5)(f)) _____
 - g) Retention of exploration or mineral rights by any but U.S.? (746.2(5)(g)) _____
 - h) Inclusion of conveyance taxes in the purchase price? (746.2(5)(h)) _____

10. If USAID 636(c) funds have been used to purchase real property to be used by personnel from agencies other than USAID, was it done without substantially increasing the size and cost of the facility required to meet USAID needs? (748.1) _____

11. Has mission avoided using USAID 636(c) funds to acquire property destined for ultimate permanent use by Host Country Staff? (748.1(c)) _____

12. If post has construction in progress using USAID 636(c) funds - has post submitted progress reports to M/AS/OMS, USAID/W? (Only when required by M/AS/OMS.) _____

13. Have capital construction or major improvements derived from Section 636(c) been funded through trust funds? (794 (1))

A-5 DISPOSAL

1. Has USAID disposed of any real property? If so:
- a) Were proceeds of sale deposited into the General Receipts of the U.S. Treasury? (754)
 - b) If Trust Fund real property has been disposed of, has the disposal been in accordance with the Trust Fund of other bilateral agreements? (753.5)
2. If any real property was sold, were appraisals made of the property by two qualified, independent appraisers? (755.1 (1))
3. Were prospective buyers of real property provided with an invitation to bid? (755.2)
4. If any real properties were exchanged: Was appraisal made before exchange agreement made? (755.3)

IV B SAFETY

Office and work site safety inspections are required to be conducted at least twice each year. These inspections are the responsibility of the supervisors for areas under their purview. The questions below are based on fire protection and life safety code requirements currently in effect. Additional information is available from the FBO Fire Protection Guide and the FBO Resources Directory. These questions are not all inclusive, and are intended to serve as a useful guide to assist in identifying conditions that may constitute fire or life safety hazards. Each mission should have a Mission Order on occupational safety and health which clarifies local procedures, practices, and policies regarding the protection of life and property. A sample generic mission order on safety and health is available upon request from the M/AS/OMS safety and health team.

OFFICE INSPECTION CHECKLIST

B-1 <u>GENERAL FIRE AND LIFE SAFETY</u>	<u>YES/NO/NA</u>
1. Housekeeping - Is everything in its place? Are waste baskets emptied daily? Is trash taken out of the building at night?	—
2. No Smoking - Is the NO SMOKING rule being enforced within the offices?	—
3. Electrical Supply - Does electrical wiring show signs of cracks, wear, fraying, etc? Are any wall outlets overloaded? Is the use of extension cords limited to prevent overloading of wiring? Are extension cords kept out of walkways?	—
4. Walking surfaces - Are they kept clean and dry? Are there any torn or rumpled carpets? If so, are they being repaired or replaced?	—
5. Exit signs - Are exits clearly identified by international pictographic signs, and are lighted exit signs (ceiling mounted) visible from any point in the facility?	—

6. Exit floor plans - Are exit floor plans available for each floor showing emergency exit routes and exits?
Are the floor plans mounted in corridors and near each exit?

7. Exit doors - Do all exit doors and egress doors leading to exits swing outward in the direction of egress?
Are panic bars or standard door hardware mounted on all doors that lead to the outside?

8. Are exit doors, grills and gates leading into or in stairways and exit ways kept unlocked during working hours?

9. Are stairwell landings clearly marked with the number of the respective floor?

10. Stairwell/corridor lighting - Are stairwells and corridors well-lit and equipped with battery backup lighting to facilitate egress in the event of power failures.

11. Fire alarm - Is there a fire alarm box? Do personnel know its location? Do employees know what number to call to report a fire or other emergency?

12. Fire suppression - Are standpipes or fire extinguishes available?
Minimum 10 lb. type ABC (4-A:40-B:C) dry chemical extinguisher every 75 feet, plus one at each exit?
Are they operational and inspected quarterly?

13. Tools and equipment - If tools and equipment are being used in the office, are they appropriate for the job and used only for their intended purpose? Are tools maintained and repaired or discarded if not working properly?

14. Flammable liquids - If flammable liquids are used, are they handled and stored properly in a UL approved container? Are all ignition sources checked including static electricity?

15. Convenience appliances - Are coffee pots, transformers, and other electrically operated counter-top appliances placed on fire resistant ceramic or metal pads? _____
16. Paperwork, books and files - Are papers, books and files kept off the floors and in bookcases and filing cabinets to prevent tripping and fire hazards? _____
17. Training - Are personnel trained in the proper use of equipment and their use? Are shortcuts or the over-riding of safety features prohibited? Are untrained personnel prohibited from using equipment which involves potential hazards? _____
18. Ladders - Are step stools or ladders readily available for retrieving items above shoulder height? _____
19. Lifting devices - Are carts or trolleys available to assist with the daily movement of equipment and supplies? _____
20. Stairwells - Is the nearest interior stairwell enclosed within one hour fire-rated walls and doors? Are doors kept closed? _____
21. Directional arrows - Are arrows clearly marked on door thumb turn bolts and door knobs? _____
22. MSDS - If hazardous or toxic chemicals or substances are being used in the work place, are Material Safety Data Sheets (MSDS) posted to advise employees? Are employees trained in the use and handling of the hazardous material? _____
23. Fire Drills - Are drills conducted at least twice each year? _____
24. OEP - Is there an Occupant Emergency Plan (FPMR 101-20)? Are personnel such as floor, stairwell and disabled employee monitors aware what their role is? _____
25. Have separate rooms been designated as holding areas for disabled employees as required by the OEP Plan? _____

26. First aid kits - Are first aid kits available and are personnel aware of the location of first aid kits? Is the kit displayed in an accessible place? _____
27. Is overhead lighting sufficient for the task? _____
28. If elevators are available are signs prominently displayed advising occupants to use the stairway, not the elevator in case of fire? _____
29. Is an automatic fire detection and alarm system installed if required by A/FBO? _____
30. Budget - Are necessary occupational safety and health items provided for in the office/mission financial plan as required in 29 CFR 1960? _____

B-2 RESIDENCES

YES/NO/NA

1. Are all residential units equipped with battery operated smoke detectors in each sleeping area? _____
2. Are smoke detectors tested annually and worn batteries tested and replaced. _____
3. Is a 10 lb type ABC dry chemical fire extinguisher available in the kitchen area? _____
4. Does the residential unit have two remote means of egress? _____
5. If backup generators are used, are fuel supplies kept a safe distance away from the generator? _____
6. Is fuel stored in UL approved fuel storage containers? _____
7. If LPG gas is used to power appliances, are the cylinders installed outside the building and at least 15 feet away from any ignition source? _____
8. Are the residents instructed to practice fire drills in the home at least twice a year? _____

9. Do residents know what phone numbers to call in the event of emergencies? _____

B-3 WAREHOUSE SAFETY CHECKLIST

YES/NO/NA

1. Are supplies and equipment arranged in a neat and orderly manner? _____
2. Are aisle ways, clearance space, and exits kept clear of any obstructions? _____
3. Have warehouse personnel received training in safety? _____
4. Are enamels, lacquers, and other paint products stored in a well-ventilated fire resistant structure or UL approved cabinet separated from other storage areas? _____
5. Are floor load-bearing capacities posted and observed? _____
6. Are materials stacked neatly and supports used where necessary to ensure stability? _____
7. Is a 1 1/2 foot clearance maintained between electric light fixtures and stacked materials? _____
8. Is a 2 1/2 foot clearance maintained between electrical circuit boxes and stored supplies? _____
9. Are bilingual "NO SMOKING" signs posted throughout the warehouse and outside near flammable storage points? Is this strictly enforced? _____
10. Are flammable liquids stored in an UL approved safety container at an appropriate distance from other stored materials? Is only the minimum amount necessary kept on hand? _____
11. Is material stored so as not to interfere with sprinkler heads, fire line valves, fire hose, fire extinguishes, fire exits and doors? _____

12. Are large bulky, or heavy materials stored near doors to minimize handling and facilitate movement? _____
13. Are precautions taken to ensure that powered lift trucks are used properly in the area? Are they maintained properly? _____
14. Are precautions taken to ensure that gasoline-powered lift trucks are not refueled inside storage buildings or when the motor is running? _____
15. Are forklift operators trained in the safe operation of the equipment? _____
16. Are frequent checks made of storage areas containing hazardous (flammable, explosive, or corrosive) supplies to make sure they are in order with no evidence of leaks, corrosion, etc? _____
17. Are EXIT signs posted and clearly visible from any point in the warehouse? _____
18. Are fire extinguishes mounted on the walls? Normal warehouse installations should have 20 pound ABC type (10-A:60-B:C) and 2.5 gallon water pressure type units mounted at the exits and at intervals of not more than 75 feet travel distance from any point in the building. Mounting height is 3 to 5 feet off the floor for visibility. _____
19. Do fire extinguishes have inspection tags and have the extinguishes been checked in the past year? _____
20. Are toxic chemicals or hazardous materials stored in the warehouse? If so, are Material Safety Data Sheets available that provide hazard data and required precautions? _____
21. Are less than 10 gallons of flammable liquids stored within the warehouse? Are they stored away from potential ignition sources? _____

22. Is a fire evacuation diagram displayed at key points along the wall? _____
23. Are warehouse personnel familiar with the location of fire fighting equipment and have they received training in its use? _____
24. Is warehouse well-lit to minimize chances of accidents? _____
25. Are cylinders containing compressed gases properly labeled, stored outside, secured in an upright position, and sheltered from temperature and weather extremes? _____

B-4 CARPENTRY SHOP OPERATIONS

YES/NO/NA

1. Are personnel in woodworking shops aware of hazards involved due to machine speed and sharp cutting edges? _____
2. Are personnel instructed that loose clothing, dangling ties, long hair, and jewelry may catch in moving machinery parts? Are such items prohibited while working? _____
3. Are machines shut down and tagged so they cannot be operated during maintenance or repair? _____
4. Are floors kept clean and free of sawdust, scrap, and other objects which might cause tripping or slipping? Is refuse taken out of the area at night? _____
5. Are cutting tools kept sharp and in good repair? _____
6. Is appropriate personal protective equipment provided, and is its use required? _____
7. Are starting and stopping switches color coded and within immediate reach of the operator? _____
8. Are running machines attended at all times? _____

9. Is adequate space provided around each machine to permit movement of the operator and handling of stock without danger? _____
10. Is stock piled in a separate storage location? _____
11. Are saws checked frequently for defects and cracks? _____
12. Are table saws guarded beneath the table by guards or rigid exhaust hoods? _____
13. Are table saws guarded by a device which will rest on the table, completely covering the saw, and which will rise, by pressure or otherwise, to adjust itself to the thickness of the material being cut? _____
14. Are manual-feed saws provided with anti-kickback dogs or cams? _____
15. Are small pieces of stock fed through the saw with a push stick? _____
16. Fire Extinguishers - Each shop should have 20 pound type ABC (10-A:60-B:C) extinguishes, and one 2.5 gallon pressurized water fire extinguisher mounted every 50 feet travel distance. _____

B-5 MACHINE SHOP OPERATIONS

YES/NO/NA

1. Are machines shut down and tagged (lockout - tagged) so they will not operate during maintenance or repair? _____
2. Are all flammable liquids stored in their original containers or UL approved containers? _____
3. Are oily rags, waste, and other grease-soaked materials disposed of in self-closing metal containers? Are these containers emptied daily? _____

4. Are personnel cautioned against wearing loose clothing, long hair, long sleeves, dangling necklaces or ties, gloves and rings when working with moving machinery? _____
5. Is eye protection worn? _____
6. Are lathes allowed to come to stop of their own accord, and is hand pressure prohibited for stopping a spinning chuck? _____
7. Is setting of tools prohibited while the lathe is in motion? _____
8. Are clamps and bolts checked to assure that they are low enough to pass under the arbor and cutter of the milling machine? _____
9. Are grinding wheels thoroughly inspected for defects before use? _____
10. Are machines properly grounded? _____
11. Is scrap metal promptly cleaned up and disposed of? _____
12. Is the shop illumination adequate? _____
13. Are machines so located as to provide operators with sufficient space to handle materials and perform job operations without conflict? _____
14. Are machine controls conspicuously identified by appropriate color coding and within easy reach of the operator? _____
15. Are compressed gas cylinders stored in an upright position, outside the facility, with caps on, and sheltered from temperature/weather extremes? _____
16. Are fire extinguishes mounted at strategic points within the facility? _____

B-6 VEHICLE MAINTENANCE OPERATIONS

YES/NO/NA

1. Are activities such as painting, welding, and battery work confined to separate parts of the garage or maintenance area and isolated from each other to avoid creation of hazardous work interference?

2. Are solvents used for cleaning? If so, do they have low flash points (100 degrees F or lower) which can contribute to flammability?

3. If personnel handle solvents, are they provided with personal protective equipment such as nitrile gloves and respirators?

4. Is ventilation adequate to prevent accumulations of flammable or toxic vapors, gases, or fumes? If vehicles must be run indoors, is there an effective exhaust system to prevent carbon monoxide buildup?

5. Is good housekeeping maintained?

6. Are floors kept clean and free of toxic or slippery substances?

7. Are drip pans used to catch oil and fluids from engines?

8. Do personnel wear proper personal protective equipment? Are goggles worn whenever working around batteries? Are shoes provided for protection of feet?

9. Are portable guardrails placed around any pit when not in use?

10. Are pits cleaned regularly?

11. Are floor jacks inspected regularly for defects, safety locks, and hydraulic fluids?

12. Are jacks used together with wheel chocks to prevent movement of the vehicle?

13. Are vehicles supported securely on safety stands after being raised by jacks? _____
14. Are jacks labeled with their load limits? _____
15. Are makeshift work stands or scaffolding prohibited? _____
16. Are guard devices used during tire inflation to protect against explosion? _____
17. Are tool kits inspected periodically and defective tools and equipment replaced? _____
18. Are extension cords checked for deterioration from oil and grease? _____
19. Are gas tanks and other fuel containers removed from vehicles, drained, steamed, and filled with water before welding or other heat producing operations are performed on them? _____
20. Are maintenance personnel cautioned against wearing loose clothing and items of jewelry around equipment and machinery to prevent being caught in the machinery? _____
21. Are shop entrances and exits free of obstructions and easily identified? _____
22. Are signs warning of danger posted? _____
23. Is smoking prohibited and enforced in the shop area? _____
24. Are Material Safety Data Sheets readily available for use with hazardous solvents/chemicals being used? _____
25. Is eyewash available - especially near battery work area? _____
26. Is a first aid kit available in a conspicuous place? _____
27. Are 10 lb type ABC dry chemical fire extinguishes mounted on walls at strategic points? Are the extinguishes checked quarterly? _____

B-7 VEHICLE OPERATIONS

YES/NO/NA

1. Is a formal safe driving program in effect? _____
2. Do drivers perform daily safety maintenance checks of vehicles, i.e. brakes, lights, horn, wipers, tires, seat belts, mirrors, etc. _____
3. Are precautions taken to prevent the use of vehicles by unauthorized personnel, or personnel without operator's permits? _____
4. Are drivers taught how to prepare a Form SF-71, Operator Report of Motor Vehicle Accident, and is this form in the glove compartment of every vehicle? _____
5. Are seatbelts available in all passenger vehicles and is mandatory use of the belts being practiced? _____
6. Are warning flares or triangular reflectors available in all official vehicles in the event of a breakdown? _____
7. If fuel storage cans are used, are safety gas cans used (spring loaded pressure relief cap plus a flame arrestor)? _____
8. If mission has its own fuel dispensing pump, is -- A "No Smoking, Turn Off Engine" sign (bilingual) prominently displayed? - Are fuelhandlers trained in the use of fire extinguishes? _____
9. Fire extinguishes - Motor pools should have a 20 pound type ABC unit (10-A:60-B:C) mounted within 75 feet of the fuel dispensing point and additional 20 pound ABC units mounted to be available within 75 feet travel distance from all points of the service area. An additional unit should be located at the guard mission. _____

10. Is a sign prominently displayed indicating where the fuel pump shut-off valve is located? Note: an emergency pump shutoff valve must be placed in an outside location within 75 feet of the dispensing island and labeled with a sign stating: EMERGENCY PUMP SHUTOFF. Shutoff valves shall not be closer than 15 feet to the dispensing device.

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B-8 FOOD SERVICE OPERATIONS

YES/NO/NA

1. Are monthly inspections of kitchen equipment performed?
2. Are high sanitary standards maintained?
3. Are storage and work areas free from work and grease?
4. Is effective rodent and insect control established?
5. Do food handlers meet standards of personal cleanliness?
6. Do food handlers receive periodic medical examinations?
7. Is electrical equipment grounded?
8. Are liquid propane gas cylinders used and if so, are they installed outside the facility and protected from temperature extremes? Are they at least 20 feet from an open flame source?
9. Are proper tools available to open boxes and crates?
10. Are stoves, hoods, vents, fans and other parts of stoves and ranges cleaned to remove accumulation of grease?
11. Are floors clean and not slippery?
12. Are fire extinguishes (10 lb, type ABC, dry chemical) available and functional?

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13. Are steam pipes insulated? _____
14. Are pads and potholders used when handling hot objects? _____
15. Do cutters and choppers have suitable guards? _____
16. Are operating instructions available for mechanical equipment? _____
17. Are safety and EXIT signs posted and clearly visible? _____
18. Is kitchen separated from all other occupied areas by three hour fire resistant wall construction? _____
19. Is there a clearly accessible fuel shutoff valve for all fuel fired cooking equipment? _____

B-9 PESTICIDE USE

YES/NO/NA

Pesticides contain toxic chemicals that can be fatal to humans if the product is not applied or used properly. The INTEGRATED PEST MANAGEMENT PLAN (IPM) issued by the Department of State contains guidelines that must be strictly followed by overseas mission before using pesticides to eliminate different types of pests. Due to the serious problem of illness and/or death that can result from the misapplication of pesticides, the Department has made the IPM Plan mandatory for use by all mission by incorporating its provisions under 6 FAM 616.8. The checklist below is designed to serve as a reinforcement and reminder of the steps that must be followed before using pesticides.

1. Does the mission have a copy of the Integrated Pest Management Plan on file, and have the GSO personnel been briefed/trained in its use? _____
2. Are copies of the PLAN available for distribution to employees? _____
3. Prior to using pesticides, does the post employ PEST REDUCTION MEASURES first? These are to be followed by or used concurrently with SELF HELP MEASURES - and, ONLY AS A LAST RESORT are pesticide applications permitted in homes or offices. _____

4. Pests seek habitats which provide basic needs such as air, moisture, food and shelter. You can minimize their presence through habitat modification such as exclusion, repairs, and sanitation. Pages 3 through 5 of the IPM Plan contain specific steps to follow to deter and exclude pests from homes and offices. Have these steps been followed?

5. Have maintenance staff been trained to recognize areas identified above and do they have the necessary materials on hand to correct the situation?

6. Does the Operating Expense budget contain funds for necessary and ongoing deterrent supplies, eg. screening, drain covers, caulking, traps, trash cans w/ lids?

7. Are records maintained to indicate or justify the need for more aggressive measures to eradicate pests?

8. Are periodic notices issued to all employees mandating the procedures to be followed to assist with pest deterrence?

9. Are the supplies listed in stock at the warehouse or Commissary?

10. If not, has the commissary manager been provided a list for ordering purposes?

11. If there is no commissary, are self-help products procured by the mission and distributed to occupants of government-owned or leased properties? Are employees also encouraged to purchase these products from retail outlets in the U.S. before departure overseas?

12. Are employees made aware of their responsibility to use self-help measures as part of mission compliance with the IPM Plan?

13. Based on the target pest to be eliminated, is an EPA registered pesticide on order from the U.S. or currently in stock?

14. If a product is being considered for use that is not EPA registered and purchased from GSA, has permission to use that product been obtained from A/FBO/OPS/SHEM (with a copy to M/AS/OMS)?

15. Is a Material Safety Data Sheet (MSDS) available that describes the pesticide, handling precautions, hazard information and protective measures? _____
16. Has the MSDS been made available to everyone that will be handling/exposed to the product? _____
17. Has the Embassy Health Unit been notified in advance that a pesticide will be used? Has the Unit been provided a copy of the MSDS? _____
18. Does the Embassy have a qualified firm under contract that can be used to apply the pesticide? This may be preferable to hiring a contractor for USAID requirements only. _____
19. Have the personnel applying the pesticide been certified, licensed or trained as proficient in the use of pesticides? _____
20. Is personal protective equipment (PPE) on hand and available to protect the persons applying the product? _____
21. Have the occupants of the office or residence been notified in advance of the application and advised on safeguards, handling of pets, and permissible re-entry times to the treated area? Have MSDS been made available to these persons? _____

B-10 ERGONOMICS PROGRAM

YES/NO/NA

WORKSTATION

1. Does the working space allow for a full range of movement? _____
2. Are mechanical aids and equipment available? _____
3. Is the height of the work surface adjustable? _____
4. Can the work surface be tilted or angled? _____
5. Is the workstation designed to reduce or eliminate bending or twisting at the waist? _____
6. Is the workstation designed to reduce or eliminate reaching above the shoulder? _____
7. Is the workstation designed to reduce or eliminate extending the arms? _____
8. Is the workstation designed to reduce or eliminate static muscle loading? _____
9. Is the workstation designed to reduce or eliminate bending or twisting the wrists? _____
10. Is the workstation designed to reduce or eliminate raised elbows? _____
11. Is the employee able to vary posture? _____
12. Are hands and arms free from pressure from sharp edges on work surfaces? _____
13. Is an arm rest provided where needed? _____
14. Is a foot rest provided where needed? _____
15. Is the floor surface flat? _____
16. Are cushioned floor mats provided for employees who are required to stand for long periods? _____
17. Is the chair or stool easily adjustable and suited to the task? _____
18. Are all task requirements visible from comfortable positions? _____
19. Is there a preventive maintenance program for mechanical aids, tools, and other equipment? _____

TASK ANALYSIS

1. Does the design of the task reduce or eliminate bending or twisting? _____
2. Does the design of the task reduce or eliminate crouching? _____
3. Does the design of the task reduce or eliminate bending or twisting the wrists? _____

4. Does the design of the task reduce or eliminate extending the arms? _____
5. Does the design of the task reduce or eliminate raising the elbows? _____
6. Does the design of the task reduce or eliminate static muscle loading? _____
7. Does the design of the task reduce or eliminate clothes-wringing motions? _____
8. Does the design of the task reduce or eliminate finger pinch grip? _____
9. Are mechanical devices used when necessary? _____
10. Can the task be done with either hand? _____
11. Can the task be done with two hands? _____
12. Are pushing and pulling forces reduced or eliminated? _____
13. Are the required forces acceptable? _____
14. Are the materials able to be held without slipping? _____
15. Are the materials easy to grasp? _____
16. Are the materials free from sharp edges or corners? _____
17. Do containers have good hand holds? _____
18. Are jigs, fixtures and vises used where needed? _____
19. If gloves are needed, do they fit properly, and are they made of proper fabric? _____
20. Does the task avoid contact with sharp edges? _____
21. When needed, are push buttons designed properly? _____
22. Does personal protective equipment keep from getting in the way of task? _____
23. Are high rates of repetitive motion avoided by job rotation? _____
24. Are high rates of repetitive motion avoided by self pacing? _____
25. Are high rates of repetitive motion avoided by sufficient rest pauses? _____
26. Are high rates of repetitive motion avoided by adjusting the job to the skill level of the worker? _____
27. Is the employee trained improper work practices? _____
28. Is the employee trained in when and how to make adjustments? _____
29. Is the employee trained in signs and symptoms of potential physical problems? _____

HAND TOOL ANALYSIS

1. Are tools selected to avoid excessive vibration? _____
2. Are tools selected to avoid excessive force? _____
3. Are tools selected to avoid bending or twisting the wrist? _____
4. Are tools selected to avoid finger pinch grip? _____
5. Are tools selected to avoid problems associated with trigger finger? _____
6. Are tools powered where necessary and feasible? _____
7. Are tools evenly balanced? _____
8. Are heavy tools counterbalanced? _____
9. Does the tool allow adequate visibility of the work? _____
10. Does the tool grip/handle prevent slipping during use? _____
11. Are tools equipped with handles of proper diameter? _____
12. Are tools equipped with handles that do not end in the palm area? _____
13. Are tools equipped with handles of textured non-conductive material? _____
14. Are different handle sizes available to fit a wide range of hand sizes? _____
15. Is the tool handle designed to not dig into the palm of the hand? _____
16. Can the tool be used safely with gloves? _____
17. Can the tool be used by either hand? _____
18. Is there a preventive maintenance program to keep tools operating as designed? _____
19. Have employees been trained in the proper use of tools? _____
20. Have employees been trained when and how to report problems with tools? _____
21. Have employees been trained in proper tool maintenance? _____

MATERIALS HANDLING

1. Has excessive weight lifting been reduced? _____
2. Are materials moved over minimum distances? _____
3. Is the distance between the object and the body minimized? _____
4. Are walking surfaces level? _____
5. Are walking surfaces wide enough? _____
6. Are walking surfaces clean and dry? _____
7. Are walking surfaces well lit? _____
8. Are objects easy to grasp? _____

9. Are objects stable? _____
10. Are objects able to be held without slipping? _____
11. Are there hand hold on these objects? _____
12. When gloves are required, do they fit properly? _____
13. Is the proper footwear worn? _____
14. Is there enough room to maneuver? _____
15. Are mechanical aids easily available and used whenever possible? _____
16. Are working surfaces adjustable to the best handling heights? _____
17. Does material handling avoid movements below knuckle height and above shoulder height? _____
18. Does material handling avoid sudden movements during handling? _____
19. Does material handling avoid twisting at the waist? _____
20. Does material handling avoid excessive reaching? _____
21. Is help available for heavy or awkward lifts? _____
22. Are high rates of repetition avoided by job rotation? _____
23. Are high rates of repetition avoided by self pacing? _____
24. Are high rates of repetition avoided by sufficient rest pauses? _____
25. Are pushing and pulling forces reduced or eliminated? _____
26. Does the employee have an unobstructed view of the handling task? _____
27. Is there a preventive maintenance program for equipment? _____
28. Are workers trained in correct handling and lifting procedures? _____

IV C SECURITY

Unless otherwise noted all references in parenthesis refer to ADS 550-568 and 12 FAM 300

C-1 <u>GENERAL</u>	<u>YES/NO/NA</u>
1. Has the USAID mission Director appointed a USAID Unit Security Officer (USO) in writing? (ADS 561.5.4c 12FAM 550)	_____
2. Do all USPSCs hold a current security clearance? (ADS 568.5.1d)	_____
3. Are there dedicated stand alone computers designated and approved for classified processing? (ADS 568.5.2 and 551.5.1b)	_____
4. Are new personnel at post given a security orientation? (12 FAM 500, 564.1 and ADS 568.5.1d)	_____
5. Is a security debriefing conducted for all personnel leaving USAID employment? (12 FAM 564.1 and ADS 568.5.1d)	_____
6. Do employees receive a briefing about sensitive but unclassified (SBU) information as part of their security orientation? (ADS 568.5.2, 550.5.2e, and E550.5.2e)	_____
7. How many security violations occurred during the past six months? How many of those involved classified National Security Information? (12 FAM 557.1) _____	
8. Is the Key Control Program administered by the Unit Security Officer? (ADS E562.5.8 and Overseas Security Procedure Guide 562.B2b)	_____
9. Is the USO maintaining an inventory of security container combinations? (ADS 565.3.5a)	_____
10. Are the security container combinations being changed when an employee leaves? (ADS 565.3.5c)	_____
11. Is the mission's Emergency Action Plan (EAP)current? (Security Standards 12 FAH 5)	_____

12. When was the EAP last reviewed and updated? (Security Standards 12 FAH 5) _____
13. Does the USO understand that it is his or her duty to ensure that all classified National Security Information is secured in an approved container, removed to a safe location or destroyed as required by the RSO or the EAP? (Overseas Procedure Security Guide IV) _____
14. Does the mission request security checks for all FSN and TCN USAID employees from the Embassy? (ADS 568.5.1d) _____
15. Are all new leases and construction of warehouses approved through M/AS/OMS and USAID/SEC for security concerns? _____

C-2 PHYSICAL SECURITY

YES/NO/NA

1. Are local security guards employed to guard public access controlled areas, warehouses, USG leased residents and other government housing areas? (12 FAM 320) _____
2. Are Security Procedure Guides present and accessible to guard personnel? Do local guards assist in the implementation of SOP during normal and emergency situations? (12 FAM 321.1b) _____
3. Do the physical and anti-terrorism programs follow the guidelines of Public Law 99-399, The Omnibus Diplomatic Security and Anti-terrorism Act of 1986? (12 FAH 5) _____
4. Has a security survey been conducted by the RSO of the USAID facility? If so, give date of last survey. (12 FAH 5) _____
5. Has the USAID Mission Director been designated in writing as a member of the Emergency Action Committee (EAC) at post? (12 FAH 5) _____
6. Does the mission facility meet the physical security standards? (ADS 562.5.1) _____
7. Are uncleared visitors escorted in the mission where there is classified information? (ADS 562.5.1) _____

8. Are employees wearing and displaying building passes/ID cards?
(ADS 562.5.1) _____

C-3 INFORMATION SECURITY (Please see the Information Management section for
Information and Computer Security.)

C-4 PERSONNEL SECURITY YES/NO/NA

1. Have all American employees been cleared through IG/SEC?
(ADS 566.5) _____

2. If not, explain. _____

3. Are clearances up-to-date for all USPSC employees? (ADS
566.5) If not, corrective action needs to be taken immediately. _____

4. Have all TCN and FSN employees been cleared by the RSO to the
extent required? (AIDAR Appendix J) _____

5. Are SBU certifications current for FSN employees? _____

6. Are FSN pre-employment security certifications updated, i.e.,
current? _____

7. Are mission personnel files protected and under the supervisory
direction of a cleared American employee and designated and
trained staff? (ADS 500, Chap 37 App 6B,3FAM
2350&7141;ADS495.5.11; FSNPAH sec.14.5a; USAID HB 32
Chap 1, sec.1F;4FAH H-317.) _____

C-5 SECURITY TRAINING AND AWARENESS YES/NO/NA

1. Does the mission's USO receive security-related training from the
RSO?(EO 12958) _____

2. If not, has the mission ever requested this training? _____

3. Are newly assigned employees, TDY personnel, dependents, and contractors briefed regarding security and threat conditions such as, terrorism, crime and street precautions by the RSO and/or mission USO upon arrival at post? _____
4. Are periodic security awareness briefings covering counterintelligence and information security given by the RSO? (E.O.12958) _____
5. If not, does the mission USO provide a security briefing? _____
6. Does the RSO/USO conduct annual security refresher training with mission receptionists, guards and key USAID personnel? (E.O. 12958) _____
7. Are emergency reaction drills conducted quarterly? _____
8. Are Original and Derivative Classifiers adequately trained regarding their responsibilities? (EO 12958) _____
9. a) Do FSNs receive security training as appropriate for their position and the threat level at Post? _____
- b) In high threat mission: Do drivers receive special training as appropriate for local conditions, e.g., evasive driving and driving/maintaining armored vehicles? (12 FAH 5) _____

C-6 SECURITY INCIDENT REPORTING

YES/NO/NA

1. Have any terrorist, mob or criminal incidents against USAID facilities or employees occurred within the last three years? (DS Composite Threat List) _____
2. If yes, have copies of the incident reports been forwarded to IG/SEC? _____
3. If copies have not been sent to IG/SEC explain why.

IV D PERSONAL PROPERTY MANAGEMENT (Revised 8/98)

Unless otherwise noted, all numbered references in parenthesis pertain to 6 FAM 220, 6 FAM 770, and ADS 534

D-1 <u>GENERAL</u>	<u>YES/NO/NA</u>
1. Are standard FFA&E items provided to employees in accordance with those listed in 6 FAM 772.3A, B and with the post housing agreement? (772.3)	_____
2. Are hospitality kits issued in accordance with property loan policy? (222.4-2)	_____
3. Are correct and complete job descriptions available for all positions in the Property Management Section? (221.2)	_____
4. Are Accountable and Disposal Officers appointed in writing by the Property Management Officer or if an FSN, are they under the direct supervision of the administrative officer or executive officer? (221.2-2)	_____
5. Is the Accountable Officer a U.S. citizen employee, or if an FSN, are they under the direct supervision of the administrative officer or EXO? (221.2-2)	_____
6. Is the Disposal Officer a qualified U.S. citizen familiar with supply and who is not also the Accountable Officer? (221.6-3)	_____
7. Is separation of duties maintained for the functions of procurement, receiving, payment, property records maintenance, conduct of physical inventories and disposal? In the absence of separation of these functions, are other internal controls used and documented? (221.7)	_____ _____
8. Is there a preventative maintenance program for major machines and appliances? (222.7-2)	_____
9. Does the mission have a standardization plan for mechanical equipment? (534.5.3)	_____

10. Where adequate local repair facilities are available, furniture should not be replaced unless the cost of repair exceeds 75% of the cost of the new item of the same type and class or unless such repairs would not extend the item's useful life for a period compatible with the cost of rehabilitation. Is this system of replacement in use? (222.6 f) _____
11. Is Executive type office furniture comparable to class "A" on GSA supply schedules used by officers FS-1 or above? (222.5-2) _____
12. Are repairs other than routine maintenance, performed on personal property recorded in the property records? (222.3) _____
13. Has mission established realistic replacement standards for major items of furniture and equipment? (222.3 a) _____
14. Does the Executive Officer assure that issuance of furniture and appliances to other than U.S. direct hire personnel is in strict compliance with contracts and inter-agency agreements? _____
15. Does Accountable Property Officer conduct and document semi-annual utilization surveys to ensure that property is correctly assigned and cared and to identify unneeded property for reassignment or return to stock? (221.2-2 b(7)) _____
16. Records of accountable non-expendable personal property should be maintained on either the manual property cards system or on the automated Non-expendable Property Management System. Are there records maintained properly? (224.3-1) _____

D-2 RECEIVING

YES/NO/NA

1. Is receiving clerk (and alternate receiving clerk) appointed in writing? (223.3) _____

2. Do receiving clerk and his or her alternate have written instruction concerning receiving property, marking it to show agency ownership and preparing a complete receiving report? (223.1) _____
3. Is a central receiving area designated and used for all reasonably transportable incoming items? (223.2) _____
4. Are receiving reports (from OF-127) prepared and distributed correctly? (223.5) _____
5. Are items checked against consignor's Bill of Lading, Purchase Order and other documents to assure all items ordered or listed were received and all items received were listed and ordered? (223.1) _____
6. Are deviations from purchasing and shipping documents recorded? (223.6) _____
7. When special, technical equipment is received, does receiving clerk have technician inspect it for damage and full and proper identification? (223.3) _____
8. Is all received non-expendable property properly marked to show agency ownership? (224.2) _____
9. Is the person designated as receiving clerk or alternate, responsible for procurement or payments for commodities received? (221.7) _____
10. Is pre-loaded software entered on inventory only when they are priced separately from the equipment they reside on? (224.1-4) _____
11. Are superseded version of software packages and site licenses that have been upgraded deleted from inventory by abandonment? (224.1-4) _____

D-3 RECORDING

YES/NO/NA

1. Based on a sampling of fifteen to twenty record cards of each type (or an equal number of line items from computer records) are acquisitions and disposal posted properly for:
 - a) Expendable on stock control cards (OF 131) or equivalent from computer records (224.3)
 - (1) Usage factors computed? _____
 - (2) Balance in stock adjusted after each acquisition or disposal? _____
 - (3) Is all other data on card complete? Stock No.? Description? Unit of Issue? Unit of Order? Minimum and maximum levels? _____
 - (4) Does clerk prepare requisitions for procurement section when reorder level is reached? _____
 - (5) Are stock levels reasonable? _____
 - (6) Are quantities ordered reasonable? _____
 - b) NXP on Composite cards (OF 128) or equivalent from computer records (224.3)
 - (1) Average unit cost adjusted after each acquisition? _____
 - (2) Inventory balance adjusted after each acquisition or disposal? _____
 - (3) Proper Stock No. Posted? _____
 - (4) USAID Code No. posted in "category" box? _____
 - (5) Item standard description complete and proper? _____
 - (6) Multiplication, addition, and subtraction correct? _____
 - (7) All other card data entered? _____
 - (8) Are inventory adjustments posted and identified? _____
 - c) Serialized items on individual record cards (OF 129) or equivalent from computer records (224.3)
 - (1) Is computer code and standard description on card? _____
 - (2) Model description correct? _____
 - (3) All other data posted? Serial No.? Make? Acquisition document No.? Condition? _____
 - (4) Is repair data posted on reverse of cards? _____
 - (5) Do repair records indicate that equipment is not being disposed of prematurely? _____

2. Are individual folders (or other files) kept for each account? Each residence, separate office, contract group or other activity signing out for property? (224.6) _____
3. Are proper procedures being followed to remove property from buildings? (224.7) _____
4. Are costs on property records shown in U.S. Dollars? (225.1-1) _____
5. For non-capitalized accountable property, are costs on property records recorded for the purchase price excluding shipping, and packing and handling charges? (225.1-1) _____
6. Is property acquired by donation posted at fair market value including (if appropriate) cost of transportation and other costs connected with placing the property in use? (225.1-2) _____
7. When costs are unknown for newly acquired property, is value determined at the fair market value at the time acquired? (225.1-1) _____
8. Are separate cards, or computer records, kept for USAID OE, project, and Trust Funded property? (224.1-2 c) _____
9. Is quarterly reconciliation of property and fiscal accounting records being done only for capitalized property? (225.2-3) _____
10. Are inventory losses being reported in accordance with 6 FAM 226.5? _____
11. Is property on loan to individuals or between agencies documented? (222.4-2) _____
12. Does Accountable Property Officer ensure that backup records or monthly printouts are available in case of equipment failure for automated property record systems? (224.3-1 d) _____

13. Have automated property record systems been assigned access codes to ensure that entry to procurement, receiving, payment, property records update, inventory and disposal system components is limited? (224.3-1 d) _____
14. Does Accountable Officer make periodic checks to assure accurate posting to property records? (224) _____
15. Does mission have "check-in" and "check-out" form to be used by persons arriving at, or clearing post, to assure that they are aware of their responsibility for property assigned to them and that property assigned to them is accounted for when they leave mission? (224) _____

D-4 WAREHOUSE AND STORAGE

YES/NO/NA

1. What is warehouse staffing level:
 USDH _____ TCN _____
 FSN _____ Local Contract _____
2. What is the sq. footage of the warehouse storage area (including decks but not shelving)? _____
3. If warehouse staff is contracted out as a non-personal services contract, give cost _____ and number of people _____. Is contractor properly supervised? _____
4. Is warehouse secure:
 - a) Strong walls - brick, corrugated metal or other fire proof materials? _____
 - b) Windows barred, high off the ground or otherwise made difficult for breaking in? _____
 - c) Doors well built with locks that work? _____
 - d) Limited and controlled access to keys? _____
 - e) Guards or police in area? _____
 - f) Interior security lights? _____
 - g) Are they needed? _____
 - h) Exterior security lights? _____
 - i) Are they needed? _____
 - j) Leak proof windows and walls? _____

5. Storage Areas - Are good storage practices generally followed? _____

a) Are storage areas organized and items stored by type? (All air conditioners together, all beds together, etc.) _____

b) Are racks, bins or shelving, installed to maximize space use and provide orderly organization? _____

c) Are racks, bins or shelving, built eight inches off the ground to provide clearance from damp floor as mildew protection and permit inspection under racks for evidence of presence of rodents and insects which might infest furniture? _____

d) If termites are found in the area, are racks, bins, and shelving made of metal? _____

e) Are items stored neatly allowing aisles for delivering or withdrawing Commodities? _____

f) Are all items stored away from walls infected with them - and to permit inspection of walls for evidence of termite or other harmful insect infestation? _____

g) Are stacks of boxes placed to keep them orderly, neat and off the floor? (or on shelves) _____

h) Are unboxed items stacked on one another? If so, are they stacked in a way to prevent damage. _____

1) Are items stacked too high? _____

2) Padding of cloth or card board used between surfaces of stacked items? _____

3) Are furniture legs or sharp edges not resting on items below? _____

4) Are items resting on pallets or shelves if floor dampness might damage them? _____

i) Are upholstered furniture, mattresses, and boxsprings protected by dust sheets? _____

- j) Are boxsprings stored vertically to prevent compressing springs?

- k) Are used refrigerators and food freezers cleaned out with disinfectant before storage?

- l) Are used refrigerators and food freezers stored with doors propped open one inch to permit ventilation and reduce mildew and odors?

- m) Are all unboxed appliances tagged to show if they are operable and ready for issue or if not, what is wrong with them?

- n) In a joint warehouse operation, is property of each agency stored so it will not be combined with like items of other agencies? (223.7)

- o) Is there a secure, controlled area in the warehouse for storing expensive equipment and supplies subject to theft and deterioration? (223.7) (Usually a room with dehumidifier if there is danger of dampness and air conditioner if there is danger of heat and dampness.)

- p) Are unboxed typewriters, calculators, and other equipment sensitive to damage by dust or grit, covered with dust cover?

- q) If bin cards are used, spot check quantities of ten line items. Are bin cards accurate?

- r) Is warehouse routinely (at least once per month) inspected for presence of harmful insects, rodents or water damage to stored items?

- s) If harmful insects or animals are found does mission take action to get rid of them?

- t) Are rugs stored rolled or flat on a pallet or in a rack and not left folded or laying on floor or earth?

- u) Are vehicle tires stored vertically on racks, out of sunlight and with the flat square of the tire tread touching the rack?

6. Does mission have and use materials handling equipment?
- a) If so, of what types and quantities:
- | | | |
|---|-----------|----------|
| Diesel or gas driven fork lift for outside use- | Type_____ | Qty_____ |
| Electric fork lift- | Type_____ | Qty_____ |
| Hand moved hydraulic lift- | Type_____ | Qty_____ |
| Hand trucks- | | Qty_____ |
| Wheeled dollies- | | Qty_____ |
| Other (describe)- | | Qty_____ |
| Other (describe)- | | Qty_____ |
- b) Is material handling equipment used properly and safely?

- c) Are only trained and checked-out persons permitted to use fork lifts and other powered materials when handling equipment?

7. Is warehouse well lighted to minimize chances of accidents?

8. Are warehouse and other storage areas cleaned often enough to prevent accumulation of dirt and debris which would be a fire or health hazard or possibly cause damage to stored property?

9. If any landlord's property is removed from leased buildings and is stored.
- a) Is it clearly tagged to show origins ownership and when taken?
b) Is landlord's property recorded and copy of record sent to lease file?
c) Is landlord's property stored just as U.S. government property?

10. Are appliances tagged showing they were inspected? Does tag show if machine is operable and if not, why not and what has to be repaired?

D-5 ISSUING

YES/NO/NA

1. Has the Accountable Property Officer established and enforced effective internal requisitioning and issuing procedures? (224.6) _____
2. Does post use issue forms which clearly identify what property is issued, when and to whom? (224.6) _____
3. Does mission have means of control to prevent issuing more items than authorized by directives or authorized by mission policy or contract? (224.6) _____
4. Do delivery crews carefully and safely move items? (Observe at least one delivery in action.)
 - a) Is furniture lifted, not dragged? _____
 - b) Do porters lift with knees, not back, to avoid strain? _____
 - c) Are furnishings safely moved up and down stairs or through doorways without damaging items moved or the buildings through which they are moved? _____
 - d) Are items moved carefully placed in delivery truck? _____
 - e) Are items in delivery truck padded where appropriate to prevent damage? _____
 - f) Are items in delivery truck covered against weather if trucks are not enclosed? _____
 - g) When moving upholstered furniture, and other easily soiled items, do handlers have clean hands, wear clean gloves, cover item with plastic before moving or touch only wooden or metal surfaces of item? _____
5. When non-expendable property is picked up, is receipt given for it which clearly identifies what property was picked up, when and from whom? (224.6) _____
6. For spare parts issue: (224.5 (6))
 - a) Are parts issued only against an approved requisition? _____
 - b) Are old parts returned in exchange for new ones? _____
 - c) Are salvageable used parts picked up on records? _____
 - d) Are bin cards kept? _____
 - e) If so, are bin cards accurate? _____

D-6
INVENTORY

YES/NO/NA

1. Is inventory for each residence or office account adjusted after each issue to, or withdrawal from, it? (Normally done by filing issue of receipt for turn-in slip in folder, but can be done by physically re-inventorying property in that account) (224.3-3a(2))

2. Are the household furnishings and equipment assigned to the USAID principle officer residence inventoried annually. (226.3-1b(2))

3. Is USAID Mission Director's inventory and value of non-expendable property within the authorized limitation? (779.2-2)

4. Does the USAID principal officer sign the inventory completed on his residence prior to a copy being sent to USAID/W. (779.2-2)

5. Is physical inventory taken each year for all personal property other than residential furniture, furnishings and equipment? (226.1)

6. Are separate inventories taken for each account? (e.g. USAID, trust fund, project, IG, RHUDO, etc.)

7. Are physical inventory and reconciliation files kept in the property office for the last three complete fiscal years? (226.2)

8. Does the individual responsible for property records maintenance participate in the physical inventory count? (226.2)

9. Are signed residential custodial files used to document inventory of occupied residences in lieu of new physical inventory. (226.1) _____
10. Is inventory schedule announced well in advance to minimize disruptive influence in the office routine? (226.2) _____
11. Does Accountable Officer assure that:
 - a) overages of items are logically explained in writing and recorded in property records? (226.4 b and d) _____
 - b) efforts to locate missing NXP items are taken only if dollar value so warrants? (226.4 b) _____
12. When final dollar value of physical inventory count of property is compared to value in property records, what is percentage of difference? (226.4) _____
13. When no more adjustments can logically be made for records - are receiving reports completed for all overages and disposal actions completed for all shortages? (226.4) _____
14. Has Board of Survey been designated? (226.5-2) _____
15. Are property record balances adjusted to show new total quantities and value? (226.4 e(3)) _____
16. Has post's inventory:
 - a) been adjusted to show new balance? _____
 - b) been reconciled with Controllers records as required? _____
 - c) been sent to USAID/W, M/AS/OMS as required? _____
17. If inventory discrepancies reveal expensive or sensitive equipment or large volumes of other property unexplainably missing, is investigation by USAID OIG/I requested and documented? _____

D-7 DISPOSAL

YES/NO/NA

1. Is a Property Survey Board used when appropriate or required?
(226.5-2) _____
2. Does post have permanent Property Survey Board? (226.5-2) _____
3. Before disposal of property, does the Accountable or Disposal Officer assure that: (221.2-3)
 - a) Equipment or furniture is correct item to be disposed of?
 - b) Equipment tagged as "uneconomical to repair" is not operable or economically repairable? _____
 - c) If someone has been, or is expected to be charged for damage to the property, that the claim of damage has been settled? __________
4. Based on sampling of at least ten disposal, are forms OF-132 (And for USAID disposal form USAID/5-73 for nonexpendable OE funded property) made out completely and correctly for disposal, including: (227.3)
 - a) Name of owning agency identified? _____
 - b) Standard description as it appears in the standard description list of NXP? _____
 - c) Computer property code number listed beside standard description? _____
 - d) Listing and signatures of survey board when appropriate?
 - e) Signature by Disposal, Accountable and Property Management Officers? _____
 - f) NXP condition codes? __________
5. Are disposal of USAID vehicles reported to USAID/W by turning in a copy of USAID form 5-197? (228.8) _____
6. All sales of personal property to U.S. Government employees or their dependents have been competitive, open to the public, and U.S. citizen employees purchasing Government property have made the required written certification. (227.3-3 j) _____
7. Is program-funded property being disposed in accordance with ADS 534.5.7? _____

8. Where disposal documentation lists property condition (as it should on form OF-132 for Board of Survey and on cables announcing the property for disposal) are condition codes shown NXP User Guide used? _____
9. Are separate disposal reports made for expendable and non-expendable property? _____
10. Which methods of disposal were used at this post last year? (227.3) _____
11. Are seals and insignias thoroughly mutilated before disposal and are flags disposed of by burning? (227.4) _____
12. Does mission obtain written approval from USAID/W, M/AS/OMS prior to classifying USAID property as foreign excess? (227.1-3) _____

IV E ACQUISITION

The following acquisition guidance checklists were prepared by the Bureau for Management, Office of Procurement, Evaluation Division, (M/OP/E).

E-1 <u>SIMPLIFIED ACQUISITION</u>	<u>YES/NO/NA</u>
1. Procurement Request	
a) Are there appropriate specifications?	_____
b) Are the services non personal?	_____
2. Competition and Publicizing	_____
a) Small Business Set-aside?	_____
b) Required supply source?	_____
c) Written Solicitation?	_____
d) Posted in a public place? (\$10,000 - \$25,000)	_____
e) Competition obtained?	_____
3. Documentation to support simplified acquisition	
a) Price reasonableness based on:	
competitive quotes _____ historical pricing _____	
current price lists _____ catalog prices _____	
advertisements _____ similar items _____	
value analysis _____ CO knowledge _____	
b) Sole source justification:	_____
c) Abstract of Quotations	_____
d) Rationale for vendor selection documented	_____
4. Purchase Order - Form _____	
a) Fixed Price?	_____
b) Prompt Payment Discounts?	_____
c) Supplies/Services specified?	_____
d) Inspection and Acceptance specified?	_____
e) Delivery date specified?	_____
f) C.O. signature	_____
g) Applicable clauses?	
FAR	_____
AIDAR	_____

5. Receiving report	
Goods received or appropriate follow-up made?	_____
 E-2 <u>CONTRACTS</u>	 <u>YES/NO/NA</u>
1. Procurement Request	
a) Contractible scope of work?	_____
b) Evaluation criteria?	_____
c) Commercial item requested?	_____
If so, commercial format used?	_____
2. Publicizing Actions - CBD notice in file?	_____
3. Selection of Contract Type	
a) Was appropriate contract type used (fixed price, cost, etc)?	_____
b) Correct use of personal service (PSC) vs. non-personal service contract?	_____
c) Contract is LOE ____ Completion ____ Both ____ Neither ____	_____
d) Distinction made whether it is a level of effort or completion type contract?	_____
e) If IQC type contract, is the multiplier set up as a cost plus percentage of cost contract?	_____
4. Competition	
a) OSDBU review obtained if appropriate (small business set-asides for USAID/W)?	_____
b) If sole source, JOFOC signed by appropriate approving official is in file?	_____
c) JOFOC is complete/valid	_____
d) If limited competition for awards under \$250K by overseas activity, class justification is in file? (CIB 97-16)	_____
e) If limited competition for awards under \$250K by overseas activity, C.O. certification is in file? (CIB 97-16)	_____
f) Amendments which add new procurement meet competitive requirements.	_____
g) Was Cost & Pricing Data requested? (If adequate competition is not required.)	_____

- h) Offers solicited from as many potential offerors as possible? _____
- i) Certificate of current cost or pricing data (over \$500,000) current as to the date of price agreement? (FAR 15.804) _____
- 5. Solicitation _____
 - a) Complete solicitation contained in the file? _____
 - b) Solicitation contains an adequate scope of work? _____
 - c) Solicitation contains applicable FAR/AIDAR clauses and certifications? _____
 - d) Source selection plan and evaluation criteria (if applicable) are adequate? _____
 - e) Solicitation requires past performance information? (CIB-97-28) _____
 - f) Sufficient time allowed for proposal preparation? _____
 - g) Source list in file? _____
- 6. Preaward Support Data _____
 - a) Preaward survey or Contracting Officer decision that survey is not required? (CIB 92-16) _____
 - b) EEO preaward clearances for contracts over \$1 million? _____
 - c) Certification and disclosure regarding payments to influence certain Federal transactions? (FAR 52.203-11) _____
 - d) Small Business subcontracting plan approved by OSDDBU (for U.S.) CO's overseas are sending in after the fact. (\$500,000) _____
- 7. Negotiation Memorandum _____
 - a) Description of the acquisition? _____
 - b) Names of participants, dates, and method of negotiation? _____
 - c) Basis for selection of successful contractor? _____
 - d) Discussion of selection of type of contract? _____
 - e) Discussion of selection of type of contract? _____
 - f) Results of preaward audits and technical evaluations? _____
 - g) Establishment of competitive range? _____
 - h) Cost/price analysis and Contracting Officer determination of price reasonableness? _____

- i) Determination of contractor responsibility, including contractor's accounting and purchasing systems and financial status and a statement that the contractor does not appear on the current debarred or suspended list?

- 8. Contract Award
 - a) Contract is signed and dated by the Contracting Officer after funds certification?

 - b) Contract is signed and dated by the contractor

 - c) Contract contains a definite performance period with beginning and ending dates?

 - d) If 8(a), contract is signed by USAID Contracting Officer and prime contractor? (effective 6/9/98)

 - e) Contract contains all applicable current FAR and AIDAR clauses, including the Year 2000 Warranty Clause for IT Acquisitions (5/98) and Periodic Progress Reports Clause (7/98)?

 - f) Deviations/waivers were obtained for special requirements, as applicable? (AIDAR 701.4)

 - g) For contracts for goods and services, the contract schedule contains a list of authorized geographic codes if sources other than the U.S. are authorized? (ADS 310)

 - h) Geographic source waivers are in the file, if applicable?

 - i) Salaries are within ES-06 (\$118,400 yearly, \$455.36 daily, or 56.92 hourly) or if FS-01 limitation is still required (\$94,287 yearly, \$362.64 daily, or \$45.33 hourly)?

 - j) Final subcontracting plan incorporated in the contract?

 - k) Are CLIN's being appropriately developed?

- 9. Debriefings
 - a) Were unsuccessful offerors notified within three days after contract award?

 - b) Were those outside the competitive range promptly notified?

- 10. Administration
 - a) If applicable, file contains a COTR letter or it is incorporated into the contract. (\$100,000)

b) Past performance reports included? _____

E-3 US PSC

1. Contracting Officer has sufficient authority? _____

2. Contractor has signed the contract? _____

3. Funds are available? _____

4. Statement of duties establishes an employer/employee relationship? _____

5. Statement of duties does not require performance of functions reserved for Federal employees (exceptions must be approved by AA/M)? _____

6. The job has been classified according to the GS scale based on a determination of the market value of the job (HR classification required if above GS-13) and over 6 months duration)? _____

7. Solicitation is in file? _____

8. Selection memo with results of interviews (including names and rankings) are included in file? _____

9. File contains a signed SF-171 or OF-612 from the Contractor? _____

10. For USPSC's recruited from within the Cooperating Country:

a) A copy of the signed class justification is in the file (or CO prepared a justification)? _____

b) If class justification is used, CO's certification that the contract is awarded pursuant to AIDAR 706.302-70(b)(1), that its conditions were met, and the cost is fair and reasonable (may be included in neg memo)? _____

c) Position was publicized locally in accordance with Mission policy? Renewals or extensions for the same position do not need to be publicized. _____

11. For USPSC's recruited from outside the Cooperating Country, there is evidence that the position was publicized on the Agency's external Internet page (or CO prepared a justification)? Renewals and extensions, as well as new USPSC's under 6 months' duration, do not need to be publicized. _____
12. Determination of resident hire or international hire is appropriate? _____
13. As applicable, file contains:
- a) Security clearance? _____
 - b) Medical clearance (for overseas PSC)? _____
 - c) Names to be notified in an emergency? _____
 - d) Approved deviations, if any? _____
 - e) A record that Agency conflict of interest requirements have been requested (GS-15 Procurement Officer SF 450, GS-16 Procurement Officer SF 278)? _____
 - f) Completed W-4 Form? _____
 - g) Procurement Executive approval of salary in excess of ES-6? _____
14. A negotiation memorandum is in the file discussing:
- a) Number of applicants and how they were screened to the interview level? _____
 - b) How the Contractor was selected? _____
 - c) How the salary level for the Contractor was established? _____
 - d) Explains any other negotiated costs? _____
 - e) A determination that the cost is reasonable? _____
15. The file contains only one contract? _____
16. The contract covers only one position? _____
17. The Checklist for Personal Services Contracts is in the file and checked accurately? _____

18. The Contract document is complete and current including:
 - a) The Cover Page, 1420-36A, 11/96 version (11/93 was previous version) with the ethics code at the top of the page appropriately marked? _____
 - b) The Schedule (including the Statement of Duties)? _____
 - c) FAR clauses _____
 - d) "Employee Review of the New Standards of Conduct" dated 10/30/92? _____
 - e) For Resident Hires, appropriate Standard Provisions have been deleted? _____
19. For incremental recurring cost funded contracts:
 - a) The optional schedule (or similar language) is used? _____
 - b) The contract has been amended at least twice a year to update and reconcile obligations? _____
 - c) The CO has signed the master funding documents? _____
20. Are there any unapproved/nonsense clauses included? _____
21. Are there any subcontracting provisions? _____
22. Individual's salary, with the 3% annual salary increase for satisfactory performance, is within the positions's market value? (CIB 98-16, effective date 6/22/98) _____
23. Is individual's salary "capped," if salary is at maximum range? (CIB 98-16, effective date 6/22/98) _____

E-4 FSN/TCN PSC

YES/NO/NA

1. Contracting Officer has sufficient authority? _____
2. Contractor has signed the contract? _____
3. Statement of duties establishes an employer/employee relationship? _____
4. Funds are available? _____
5. Job has been classified under the LEPCH? Or, Mission Director has approved exception? _____

6. Vacancy announcement is in file? Renewals for the same position (which may include a promotion) do not need to be publicized. _____
7. Selection memo with results of interviews (including names and rankings) are included in file? _____
8. File contains a signed application from the Contractor? _____
9. A copy of the class justification is in the file, if used? _____
10. The CO's certification that the contract is awarded pursuant to AIDAR 706.302-70(b)(1), is that its conditions were met, and the cost is fair and reasonable (may be included in neg memo)? _____
11. If limited competition was not used, the file contains a Justification for Other than Full and Open Competition? _____
12. As applicable, file contains:
 - a) Security clearance? _____
 - b) Medical clearance? _____
 - c) Names to be notified in an emergency? _____
 - d) Approved deviations, if any? _____
 - e) A record that Agency conflict of interest requirements have been requested (GS-15 Procurement Officer SF 450, GS-16 Procurement Officer SF 278)? _____
 - f) A record that Agency conflict of interest requirements have been met. _____
13. A negotiation memorandum is in the file discussing:
 - a) Number of applicants and how they were screened to the interview level? _____
 - b) How the Contractor was selected? _____
 - c) How the salary level for the Contractor was established? _____
 - d) Explains any other negotiated costs? _____
 - e) A determination that the cost is reasonable? _____
14. The file contains only one contract? _____

15. The contract covers only one position (In-grade increases and career ladder promotions are OK)? _____
16. The Checklist for Personal Services Contracts is in the file and checked accurately? _____
17. the Contract document is complete and current including:
- a) The Cover Page, 1420-36B, 11/96 version (11/93 was previous version) with the ethics code at the top of the page appropriately marked? _____
 - b) The Schedule (including the Statement of Duties)? _____
 - c) The General Provisions (7/93 version of clauses 1, 2, 3, 4, 8, 9, 20; 5/97 version of clause 10; 12/96 version of clause 19)? _____
 - d) FAR clauses? _____
 - e) "Employee Review of the New Standards of Conduct"? _____
18. For incremental recurring cost funded contracts:
- a) The optional schedule (or similar language) is used? _____
 - b) The contract has been amended at least twice a year to update and reconcile obligations? _____
 - c) The CO has signed the master funding documents? _____
19. Are there any unapproved/nonsense clauses included? _____
20. Are there any subcontracting provisions? _____

IV F MOTOR VEHICLE MANAGEMENT AND OPERATIONS

Unless otherwise noted, all references in parenthesis refer to 6 FAM 228 and ADS Chapter 536.

F-1	<u>GENERAL</u>	<u>YES/NO/NA</u>
1.	It is USAID policy that mission vehicle fleets be limited to the number required for official purposes. (536.5.4) Is the mission adhering to this policy?	—
2.	When it is determined that mission transportation is required, the vehicles, with the exception of the Director's or USAID Representative's vehicle, will be pooled. (536.5.2) Are mission vehicles pooled?	—
3.	Given the size, category and age of present fleet, are mission present requirements met or exceeded? (536.5.4)	—
4.	Has mission planned for vehicle disposal and replacements? (536.5.5 and 536.5.7)	—
5.	Do disposal/procurement plans realistically reflect anticipated changes in overall mission staffing? (Check mission's OE Budget, Object Class 312, for budget to buy new vehicles at proper point in time, considering procurement lead-time, to match staff increases/decreases, etc.)	—
6.	Does Mission Director's vehicle conform to standard? (536.5.5c)	—

7. Are in-country transportation facilities available, such as taxi, bus, rail, air? _____
Considering safety, economy, security, and USAID mission administrative and program support requirements, are these facilities utilized to the maximum extent possible? (536.5.4) _____
8. Are Mission Orders on use of vehicles and maintenance facilities compatible with USAID or other federal directives? _____
9. Has mission published a written accident investigation policy? _____
10. Does mission have current Standardization plan? If so: _____
a) What is the expiration date of present plan? _____
b) What make or vehicles is standardized for: _____
1. Sedans _____
2. Station wagons _____
3. Buses _____
4. Field type vehicles _____
5. Trucks _____
c) Are USAID contractor vehicles on same standardization plan or is written request for deviation on record? (534.5.3) _____
11. Does the USAID mission, have vehicle Liability Insurance? (536.5.9 and 228.4) _____
12. If mission uses government vehicles for transportation to and from work: _____
a) Is it authorized in writing by the Chief of mission? (228.2-3) _____
b) Would use of taxicabs be a better means? (228.2-3(C)) _____
c) Is a suitable charge made for the transportation? (228.2-4)(228.2-4(d)) _____
d) Is the charge for home-to-work government transportation reviewed annually received according? (228.2-4 b (4)) _____
13. Are passengers properly billed for home to office shuttle use and other authorized use, when appropriate? _____

F-2 <u>RECORDKEEPING AND REPORTING</u>	<u>YES/NO/NA</u>
1. Are petroleum/oil/lubricants (POL) products controlled and accounted for on Form USAID 5-237? (536.5.14 a.3)	___
2. Are records kept for each Government vehicle including: (536.5.14)	
a) Repair work orders and maintenance records (USAID 5-238)	
b) Accident reports	
SF91	___
SF91a	
SF94	___
c) Motor vehicle record. Does mission send yellow copy to M/AS/OMS five days after vehicle is received (From USAID 5-197)	___
d) Dispatch analysis (USAID 540-3)	___

3. Does mission prepare and submit to Washington required vehicle operational reports vehicle report? (536.5.14)	
SF82	___
COBRA	___
MMVIS	___
Capitalized asset report	___
4. Does mission send blue (Disposal) copy of USAID form 5-197 to USAID/W for each USAID vehicle disposed of (228.7-1 b)	___
5. Does mission maintain record book or folder for each vehicle to which all records are posted for: (536.5.14)	
a) Purchase documentation?	___
b) USAID form 5-197?	___
c) Registration and like documentation?	___
d) Work orders or other documents showing repair/ maintenance cost by date and cost in parts and labor?	
e) Import, host country registration, customs document identification numbers?	___

6. Are import records being destroyed four years after vehicles leave the mission custody? (536.5.14)	___

F-3 PURCHASING AND LEASING

YES/NO/NA

1. Are vehicles replaced only after they meet replacement standards set by (536.5.7) _____
2. Are vehicles which meet minimum replacement standards but are still in excellent condition retained? (536.5.7) _____
3. If foreign-made vehicles are purchased, does mission have origin/source waivers? (536.5.5 c) _____
4. If leased vehicles are used in lieu of government owned vehicles, does relative cost justify leasing? (536.5.5a) _____
5. Are all sedans and station wagons in the mission of Class III or below? (536.5.5 c) _____
6. Does the mission have an approved standardization plan? (536.5.5b) _____

F-4 DISPOSAL

YES/NO/NA

1. When replacement vehicles arrive at post and are ready for use, are the vehicles that they replace immediately taken out of service and disposed of within sixty days? (536.5.7 and 228.8-1) _____
2. Does the method of disposal used by the mission conform to established agency policy? (227.3 and 534.5.8) _____

F-5 MOTOR POOL

YES/NO/NA

1. Does the mission require waivers of USAID liability by either passengers or drivers for the use of motor vehicles? (536.5.9) _____
2. Do all personnel in Motor Transport have complete and up-to-date job descriptions? _____

3. Does each vehicle driver keep a daily use record (Trip Ticket) on form OF-108 equivalent? (E536.5.14) _____
4. Does each gasoline-powered vehicle use unleaded gasoline and less than premium gasoline unless it is justified in accordance with ADS 536.5.6? _____
5. Does each vehicle carry a blank form SF-91, Operator's Report of Motor Vehicle Accident? (E536.5.10) _____
If so:
 - a) Do drivers know how to fill out form? _____
 - b) Do drivers fill out form after accident? _____
6. Is dispatch log kept showing which agency used each vehicle to go where, when and for how long? _____
7. Does mission use radio in dispatching and retaining communication with drivers? _____
8. Do dispatch and General Motor Pool operation records indicate that not more than one vehicle is being reserved for use of USAID mission Director or Representative? (536.5.2) _____
9. Do Dispatch and General Motor Pool operation records indicate that no vehicle is being reserved for the Deputy Director or someone other than those authorized vehicles under ADS 536.5.2? _____
10. How does mission provide vehicle fuel?
 - a) mission owned pumps? _____
 - b) Gas coupons? _____
 - c) Cash by drivers or other personnel? _____
 - d) Other (Explain) _____
11. Does mission have control of fuel and oil usage through
 - a) Locks on fuel pumps? _____
 - b) Keeping gas coupons locked up and logging them out? _____
 - c) Requiring receipts for proof of cash purchases? _____
 - d) Other (Explain) _____

12. If mission has its own fuel issue pump or station, are safety precautions followed, including:
- a) "No Smoking" signs (Bi-lingual if appropriate) prominently displayed in area? _____
 - b) Smoking prohibited within 15 feet of staging area? _____
 - c) At least three 10 lb. dry powder fire extinguisher (more if area has more than two pumps or drums of fuel) in the area and easily seen? _____
 - d) Have fuel handlers been trained in the use of fire extinguisher? _____
 - e) Quickly removing or neutralizing spilled oil, grease or other flammable substances in fuel dispensing area? _____
- _____
13. Does mission make an effort to assure economy of use of vehicles? (6FAM, 228.1)
- a) Is a dispatch analysis used to show number of vehicles, ratio of passenger to non-passenger vehicles, number of drivers and overly long waiting time on despatch
 - b) Are vehicles of a type which offer the least operating costs? _____
 - c) Regular review of trip tickets by responsible Officer? _____
 - d) Are vehicles pooled when practical? (228.3-1) _____
- _____
- _____
14. Do all drivers, and supervisors have valid host government and/or USG drivers licenses? _____
- Receive periodic eye and medical examinations? _____
15. What is the ratio of drivers to number of vehicles? _____
16. Is a driving skills test given to drivers before they are hired? _____
- _____
17. Does the mission have any training program to improve driving skills or general knowledge? _____
- _____

18. Does post have motorcycles or motorscooters in its fleet? (228.9-5)
 If so: _____
- a) Are drivers of these vehicles required to wear safety helmets? _____
 - b) Are vehicle records kept for these vehicles as for other vehicles? _____
 - c) Have there been any accidents at post in which drivers or passengers on mission motorcycles or scooters have been injured more than they would have been if they had been riding a larger, closed vehicle? _____

19. Does mission have a Safe Driving Award Program? (536.5.13) _____

20. Are drivers capable of writing or reading English in order to complete trip tickets? _____

F-6 VEHICLE MAINTENANCE (GENERAL) YES/NO/NA

1. Do drivers conduct daily inspections of the vehicles before using them? _____
 Do they follow instructions of check-off list on reverse of form OF 108? (Daily Vehicle Usage Reports) _____

2. (After spot checking four or five vehicles just accepted by drivers for daily use.) Is there evidence that drivers are filling out vehicle inspection forms but not noticing or reporting missing equipment, insufficient oil or coolant, inoperable instruments, bad tires or other vehicle faults? _____

3. Does mission have a scheduled preventive maintenance program for all U.S. Government-owned or leased motor vehicles? (536.5.12)
 Is schedule generally followed? _____

4. Are vehicles records periodically reviewed to identify:
 - a) Average miles per gallon of fuel per vehicle? _____
 - b) Abnormal maintenance cost? _____
 - c) Compared with a flat rate manual - whether time spent on specific jobs unreasonably long? _____
 - d) Maintenance labor hours and cost? _____
5. Does mission operate its own vehicles maintenance facility? _____
6. If not, how are vehicles maintained? _____
7. If fixed-fee contracts are in existence for vehicle maintenance, does record adequately reflect cost effectiveness or other advantages of selecting contractor? _____
8. How are vehicles maintained "in the field"? _____
9. Are any Project funded, host government titled, vehicles maintained under OE? Why, and under what arrangement? _____
10. Are maintenance services provided to any other USG Agency?
If so, how is reimbursement made? _____
11. Is responsible supervisor's approval required on work orders?
Is spot check made to confirm validity of requirement? _____
12. How many vehicles were deadlined in excess of three work days during the past year for each of the following reasons:
 - a) Awaiting parts _____
 - b) Mechanics not available _____
 - c) Delay in paperwork _____

13. How is maintenance and repair work assigned? (for mission operated facility) Example: Does shop chief inspect vehicle, make out work order, assign mechanic to job and inspect completed work? Does each mechanic decide what has to be done, prepare work order - perhaps with assistance of clerk if mechanic lacks adequate writing ability, etc.) Explain very briefly below:

15. Does mission use chemical additives to radiators to prevent freeze-up or overheating? _____

F-7 VEHICLE MAINTENANCE (SPARE PARTS)

YES/NO/NA

1. Is spare parts room maintained? _____

If so:

- a) Is security adequate? _____
- b) Is there inventory control? _____
- c) Are old parts exchanged for new parts? _____
- d) Are old parts checked for usability? _____
- e) Are unserviceable parts sold for scrap? _____
- f) Are obsolete parts culled out of stack and disposed of? _____
- g) Are good parts - but ones not suitable for vehicles in mission fleet - culled out and sold or transferred to mission able to use them? _____
- h) Are parts issued only against a valid, signed work order? _____

2. Are vehicle parts that are frequently required to maintain the mission's vehicles available on the local market? _____

If so:

- a) Are prices reasonable? _____
- b) If prices are reasonable, does mission use them? _____
- c) What is the annual cost if they are used? _____

3. Are there any parts on hand for vehicles that are no longer in the fleet? _____

F-8 VEHICLE MAINTENANCE FACILITY

YES/NO/NA

1. Are the fire and safety standards outlined in the FBO Pamphlet - "Fire Protection Design Criteria" and "Interim Standards for Fire and Life Safety" being enforced in the vehicle maintenance shop area. (6 FAM, 228.12) Also: _____
- a) Are there at least three serviceable 10 lb., dry chemical fire extinguishers conspicuously mounted and easily accessible in the shop area? _____
- b) Are "No Smoking" signs, bilingual if appropriate, posted so easily seen anywhere in shop area? _____
- c) Is the "No Smoking" rule enforced? _____
- d) Is spilled oil or gasoline cleaned up promptly? _____
- e) Is a First USAID kit available near work area? _____
- f) Is eyewash and sanitary cup available - especially near battery work area? _____
- g) Does mission avoid using gasoline as a general solvent? _____
- h) Do mechanics use safety glasses when working with acid or power tools? _____
- i) Do mechanics secure vehicles raised on jacks, lifts or props to avoid the chance of the vehicle falling? _____
- j) Do mechanic avoid running vehicle engines in closed spaces while testing them? _____

- k) Are containers of highly flammable liquids (gasoline, oil, etc.)
always covered except when in use? _____
2. Is a First Aid Kit, including eyewash, available near maintenance
workers? _____
3. Does the vehicle maintenance shop have manufacturers repair
manuals and parts lists for all makes and types of vehicles in mission
fleet? _____
4. Do shop personnel have ability to read and follow instructions in
manufacturers manuals? _____
5. Does shop have adequate tools and equipment to do repairs? _____
- Especially:
- a) Engine analyzer (Give type _____)
 - b) Complete set of metric and SAE wrenches _____
 - c) Complete set of metric and SAE sockets and socket wrenches _____
 - d) Timing light _____
 - e) Compression tester _____
 - f) Vacuum gauge _____
 - g) Torque wrench _____
 - h) Lubrication tools (Hand or compression air) _____

IV G ENVIRONMENT

YES/NO/NA

1. Does the mission submit an annual "energy consumption" report to M/AS/OMS for all USAID mission owned or leased properties?

2. Has the mission instituted a Water Conservation Program?

3. Has the mission instituted an Electricity Conservation program?

4. Has the mission instituted a Fuel Efficiency Outreach program to reduce greenhouse gas emission?

5. Have all new construction projects, or major renovation work, at the mission been designed with strict cost effective criteria with specific energy efficient targets?

(Questions #1-5 were taken from the Energy Conservation and Management Implementation Plan - December 1997.)

6. Does the mission have a policy of purchasing products which are:
a) In the upper 25th percentile for energy and water efficiency, as rated against the competition?
b) Which are at least 10 percent energy and water efficient than the minimum levels set by Federal Standards?

7. Does the mission purchase advanced technologies and products that offer even greater energy-efficiency, water savings or use of renewables to encourage greater commercial use?

8. Does mission share their energy efficiency and resource conservation experiences with other USG Agencies?

(Questions #6-8 were drawn from STATE 114632 addressing Green Procurement, which references The Energy Efficiency and Resource Conservation Challenge dated September 12, 1995, and FAR Amendments at 62 FR 44809 and ADS 302.5.2.)

V H TRAVEL AND TRANSPORTATION

All references in parenthesis refer to the Uniform State/USAID/ USIA Foreign Service Travel Regulations as found in ADS 522-525, 6 FAM 120. Innumerable questions could be asked concerning travel regulations and practices. The questions listed below concern common errors or abuses of regulations which are more likely to be found.

H-1 GENERAL

YES/NO/NA

1. Does the mission Management/Executive Office maintain complete and up-to-date copies of the following publications which establish Agency policies, procedures, and statutory authorities with regard to travel, transportation, and allowances related thereto:

- a) ADS 522 _____
- b) ADS 523 _____
- c) ADS 524 _____
- d) Standardized Regulations (Govt Civilians, Foreign Areas)
- e) Foreign Affairs Manual - Volume 3 _____
- f) Foreign Affairs Manual - Volume 6 _____
- g) GSA Pamphlet "How to Prepare and Process U.S. Government Transportation Requests" _____
- h) GSA Pamphlet "How to Prepare and Process a U.S. Government Bill of Lading" _____

2. Are mission Orders (Implementing procedures) relative to travel and transportation periodically reviewed and, as necessary, revised and re-issued in order to remain in compliance with Washington directives? _____

H-2 TRAVEL

YES/NO/NA

1. Do employees submit vouchers for reimbursement of travel expenses within five days after completing travel? (E522.5.2b.5) _____
2. Do travelers turn in unused tickets immediately upon arrival at post? (6 FAM 117.2) _____

3. Do travelers give receipts or written explanation for lack thereof, for taxi fares over \$25 and other expenses over \$25? (6 FAM 116) _____
4. Has Government paid for travel of any of employees' relatives other than authorized family? _____
5. Have agency heads at post, or persons they delegate in writing, signed all travel documents prepared at post? (6 FAM 121.3) _____
6. Has the Authorizing Officer documented the reason for any exceptions to the travel regulations? (522.5.14, 6 FAM 114) _____
7. If any of employees' families have been on advanced return orders at Government expense, have employees signed repayment agreements before orders were issued? _____
8. If representational travel is taken within country of assignment and family members accompany, are criteria of (127.2-1) met justifying the travel and is the justification documented (127.3 and 122. 1) _____
9. If representational travel is taken outside country of assignment and family members accompany, are criteria of (127.2-2) met justifying the travel and is the justification documented? (127.3 and 122. 1)
Has mission Director properly authorized this travel? (127.3-1b) _____
10. If post is in excess or near excess currency country, does post make use of these currencies? (128. 1) _____
11. (USAID and USIA Only) If employee uses mode of international travel other than by air, is mode of travel appropriate under (134.2)? _____

If so, is employee charged annual leave for time estimated for workdays beyond those which would have been used for normal mode of travel? (134.2-1-134.4 and 135.1-135.6)

- 12 If employee or dependents deviate from normal travel routes for personal convenience, and if there is additional cost of travel because of the deviation, is the employee charged for the additional cost? (132.4-1)
- 13 Does the mission, in coordination with the Embassy, assure currency and adequacy of country per diem rates based on periodic review and Washington action? (6 FAM 152)
- 14 Is mission Travel Staff fully cognizant of and conversant with the provisions of the "Fly America Act" as related to official travel of.
- a) USAID USDH Employees and Dependents? (134 and 135)
- b) Other USAID-financed travelers including invitational PASA, contract, consultants, etc.? (135.1)
- 15 Does mission properly utilize and control Government Transportation Requests (GTR) forms SF-1169? (117.4c)
- 16 Are staff members that are responsible for travel arrangement familiar with the types of official travel, uses and special provisions? (6 FAM 131)
- 17 Are travel agents used to procure travel services? (128.2)

H-3 TRANSPORTATION

YES/NO/NA

1. If post uses any Through Bill of Lading Services, does someone analyze cost of this service relative to using the pack-and-crate method? (6 FAM 162.2-1) _____
2. Does post ever arrange to re-weigh incoming household shipments? If so, how often? _____

3. Does employer notify employees parent agency's Washington office, by letter, when employees personal effects are sent to the U.S.? _____
4. Does post send copy of personal effects shipment information to Dispatch Agency? (Except for Through Bill of Lading Service or residence to residence shipments) _____
5. When post arranges shipments of household effects, are vans constructed within preferred shipping limits of width 6'x height 6' 10" x length 8'? _____
6. Is Notice of Shipment of Effects sent to consignee when an employees' personal effects are consigned to a Dispatch Agent or other Post? _____
7. Do persons responsible for shipping and packing know that Alcoholic Beverages may not be packed with household effects or unaccompanied baggage for Shipments going to the U.S.? _____
8. If post must use commercial ocean bills of lading instead of Government bill of lading, does post put mandated statement on forms for American shipping companies? _____
9. Are payments made to ocean carriers within specified time limits? _____
10. Has post developed a reasonable numbering system for payment and control of commercial bills of lading. _____

- 11 Has post retained packing crates from incoming pack and crate shipments? _____
- 12 Are government-paid replacement Privately Owned Vehicle (POV) shipments made only after four years after the vehicles enter country? _____
- 13 Does the mission use and properly control Government Bills of Lading? (GSA Pamphlet "How to Prepare and Process a U.S. Government Bill of Lading? NSN-7610-00-682-6470) _____

VI I COMMUNICATIONS AND RECORDS (Last revised 9/98)

I-1 GENERAL

YES/NO/NA

1. a) Does the USAID mission have a in-house C&R section: _____
 b) If not, under what, arrangement are the services being provided? _____
 c) Is the arrangement satisfactory? _____
 d) Are published C&R policies adequate and current? _____
2. Is the Communications and Records section, functioning under the supervision of a U.S. C&R Officer? _____
3. If the answer is NO, how does the mission provide for necessary C&R functions and responsibilities, such as:

 a) Supervision _____
 b) Developing procedures _____
 c) Records disposition _____
 d) Files systems _____
 e) Destruction of obsolete records _____
 f) Staff training _____
 g) Assistance to mission offices on all C&R problems _____
4. If the answer is YES,

 a) What portion of the supervisor's time is spent on routine mail and file activities? _____%
 b) Does the operation warrant a full time supervisor? _____
5. a) Does the C&R supervisor have control over authorized decentralized files? _____
 b) Is technical assistance/guidance provided to the various offices in personnel training, inspecting, organizing, and disposal of files? _____
 c) Is similar assistance provided to the field offices? _____
6. Does the mission have an active communications training program for secretaries, U.S. and Local? _____
7. What is the size of the C&R Staff? U.S. _____ Local _____

- 8. a) Is only unclassified mail, files and related operations handled by local personnel? _____
- b) Are incumbents performing the duties listed in their job descriptions? _____
- c) Are job descriptions updated when necessary? _____

- 9. a) Is the filing reasonably up-to-date, neat and accurate? (502.5.2, Appendix 6B) _____
- b) Are mission's files arranged in a systematic manner, i.e. alphabetical, numerical and chronological? (502.5.2d, Appendix 4A) _____

- 10. Are file cabinets used for storage of un-filed papers, supplies, etc.? (502.5.2f, 2g) _____

11. a) Is the files equipment (cabinets, etc.) in line with current mission requirements? (502.5.2f, 2g, 502.5.3) _____
b) Does mission make maximum use of five-drawer file cabinets? (502.5.2f, 2g) _____
c) Has the mission established proper maintenance and controls for their designated filing stations? (502.5.2) _____
12. Does mission have current file plan? (502.5.7) _____
13. Are record storage and shipping boxes packed in accordance with 502.5.7g? _____
14. a) Is the space used for storage of inactive files adequate clean, dry and safe? (502.5.2f) _____
b) Has the Security Officer inspected and approved the records storage space? _____
15. a) Does C&R supervisor make annual review of records in local storage? (502.5.7h) _____
b) Have the records authorized for destruction by the Disposition Handbook or by the Records Disposition Control Schedule been destroyed? (502.5.7h, Appendix 6B) _____
16. a) Does the mission have a vital records program? (502.5.4 - Policy Forthcoming October 1998) _____
b) Does the mission have a plan and facilities (incinerators, trunks, etc.,) for emergency and evacuation or destruction of records? (502.5.7f) _____
17. Does mission keep classified files separate from unclassified in a safe during the day and return to the Embassy for overnight storage? (502.5.2e) _____
18. Has the mission scheduled its electronic records? (502.5.6g) _____
19. Is a periodic review made of long distance calls controls and procedures? (549.5.3e) _____
20. Are personal calls controlled? (549.5.3c) _____

- | | | |
|----------------------|--|------------------|
| 21. | has the mission established procedures to ensure proper handling and accurate delivery of official mail? (508.2) | _____ |
| 22. | Has the mission established procedures to control the postage and fees of official mail? (508.2) | _____ |
| I-2 <u>TELEGRAMS</u> | | <u>YES/NO/NA</u> |
| 1. | Does the USAID mission use appropriate controls and measures for transmitting classified information? (549.5.2) | _____ |
| 2. | Do all mission telegrams conform to Department of State international communication standards for transmission? (549.4.2a) | _____ |
| 3. | Has the USAID mission established procedures to ensure coordination and clearance of telegrams transmitted from the mission? (549.5.2c) | _____ |
| 4. | Does the USAID mission use appropriate controls for declassifying and downgrading classified telegrams? (549.5.2d) | _____ |
| 5. | For those USAID mission with Banyan local area networks (LANs), does the mission use the M/IRM-developed and distributed cable macro for the preparation of a telegram? (549.5.2b) | _____ |
| 6. | Do all drafters and recipients of telegrams at USAID mission regain final copies with approvals in official office or project/strategic objective files? (549.5.2i) | _____ |

VII J PERSONNEL, ADMINISTRATION

The quality of USAID's personnel resources, the development and utilization of skills and abilities to accomplish the work of the Agency, and personnel costs are management controllable. They must be a major concern at every level of management. USAID's effectiveness depends increasingly on improving the management of its human resources. Evaluation is an essential element in that effort- the assessment of results achieved against objectives set. To fulfill their personnel management responsibilities, USAID managers and supervisors must know how well their personnel management activities are contributing to employee productivity, and organizational effectiveness within the framework of applicable laws, regulations, and public policies.

J-1 AMERICAN DIRECT-HIRE EMPLOYEES

YES/NO/NA

- | | |
|--|-------|
| 1. Are performance plans including work objectives, established according to Agency Guidelines for all (American Direct-Hire) employees within Agency-established timeframes? (E462.5.2) | _____ |
| 2. Are employees' work objectives congruent with the mission's R4? (ADS462) | _____ |
| 3. Is an Appraisal Committee (in the mission or in USAID/W) established and functioning for each employee according to current Agency policy? (ADS462) | _____ |
| 4. Is at least one progress (usually mid-cycle) review being conducted for each employee during a rating cycle? (ADS 462.5.3) | _____ |
| 5. Is 10 working days allowed between the time employees receive their completed evaluations (after their Appraisal Committee review) and the deadline for receipt in HR/USAID/W? (ADS462.5.7) | _____ |
| 6. Are the evaluations passed from the appraisal committee to USAID/W by the Agency-established due date? (ADS 462) | _____ |
| 7. Are interim evaluations completed for all employees supervised for periods of more than 120 days but less than a full cycle? (ADS 462.5.1) | _____ |

8. Have all departing raters (supervisors) completed at least a 360 degree paper review of employees supervised for periods of under 120 days? _____
9. Do employees provide raters and appraisal committees with list for 360 degree contacts by mid-cycle? (E462.54) _____
10. Do all employees submit their SF-278 Public Financial Disclosure Report or OGE-450 Confidential Financial Disclosure Reports as appropriate? (5 USC Sec. 101, 5 CFR part 2634) _____
11. Does the mission complete and transmit arrival/departure notices and other personnel management documents (e.g. SF1190) to Controllers and offices in USAID/W in a timely manner? _____
12. Is a copy of a current USAID-126 (Residency and Dependency Form and Emergency Locator Card) on file at post and in M/HR/USAID/W for each American DH employee? 3 FAH-1 H2353.2 _____
13. Are employees advised (in writing) by mid-cycle of unacceptable progress toward work objectives?(ADS 462.5.3) _____

J-2 PERSONNEL MANAGEMENT ASPECTS OF USPSC MANAGEMENT

YES/NO/NA

1. Is use of compensatory time to strictly controlled according policy set in CIB-98-24? _____
2. Are annual leave and other leave balances periodically reviewed, no accumulation beyond leave earned in one year is allowed, and any excessive balances scheduled to be used before the end of the contract?(AIDAR Appendix D, General Provision #5) _____

J-3 FOREIGN SERVICE NATIONAL (FSN) EMPLOYEES

YES/NO/NA

(Note: Applies to PSC and DH FSN(if any). Also locally recruited TCN employees are considered FSN for contractual purposes.(AIDAR Appendix J.1(8)(ii))

1. Are work objectives of local employees established in writing and fit within established SOs of the mission as appropriate for their position? _____
2.
 - a) Do position descriptions accurately reflect actual duties and follow procedures shown in the Interagency Local Employees Position Classification Handbook? (3FAH-2/LEPCH, ADS 495) _____
 - b) Is there an A&E for each position? _____
 - c) Is each position re-certified annually? _____
3.
 - a) Does the local compensation plan accurately reflect the local job market in different skill categories so that you are able to recruit and retain qualified local employees in all skill categories and at all grade levels? _____
 - b) Are career development systems in place at the mission to complement the local compensation plan in recruitment and retention of qualified employees? _____
4. Does the mission have a system in place, in keeping with local law, which allows disciplinary action or discharge of FSN employees for cause or for not meeting minimum standards? (3 FAM 7710) _____
5. Is a orientation system in place so newly hired FSN employees are briefed on:
 - a) USAID Standards of Conduct? _____
 - b) Their duties and responsibilities? _____
 - c) How they relate to others and within the USAID mission and the Embassy work place? _____
 - d) To whom they are responsible in all phases of their work? _____
6. Have all FSN employees who travel to the U.S. on official business undergone medical examinations, obtained clearances to travel and enrolled in a FSN Emergency Accident and Health Plan?(ADS 496) _____
7. Have all traveling FSN employees been instructed about regulations and procedures of official travel and insurance requirements before commencing travel? ADS 496) _____

8. Does the mission have an Awards program and/or participate in a Joint Agency Incentive Awards Committee?(ADS 495) _____
9. Do supervisors of probationary or trainee FSN employees perform evaluations at greater than once-per-year frequency as necessary? _____
- 10 Does the mission maintain a fund for retirement and/or severance obligations of both FSNDH and FSNPSC employees? _____
- 11 Does the mission have an interagency RIF plan and out-placement procedure in place? (STATE 342687 NOV 93) _____
- 12 Does Post have a uniform recruitment policy for hiring local employees? (AIDAR appendix J) _____
- 13 Do all FSN employees complete pre-employment medical exams before being contracted? (AIDAR appendix J) _____
- 14 Are all locally recruited TCN employees considered FSNs and compensated (salary and benefits) according to the local compensation plan? (AIDAR appendix J) _____
- J-4 PERSONNEL MANAGEMENT (GENERAL) YES/NO/NA
1. Does the mission submit an accurate staffing pattern report in the required format to M/HR/PPIM/IM no later than the 20th calendar day of the last month of each quarter? (That is, Dec.20, Mar.20, June 20 and Sept.20)(ADS 495.5.11)(ADS 495.5.10) _____
2. Does the mission have a budget and training plan/mission order for staff training (in appropriate skill areas) for all categories of long-term American and FSN/TCN staff? _____

J-4 PERSONNEL MANAGEMENT (GENERAL) (continued)

YES/NO/NA

3. a) Does the mission have a mission order with a matrix or other procedural document to ensure consistency in the provision of services and benefits to all categories of employees; American DH, USPSC (international-hire or local-hire), PASA, fellow, institutional contractor, etc.?
- b) Is this policy communicated to all employees at post so they know allowable benefits and services? _____
- c) Is that consistent with post ICASS service policy? _____
- _____
4. Do all mission personnel (FSN, USPSC and DH TCN, etc.) receive annual ethics training as appropriate for their position? (5 CFR Part 2635; E.O.12674,Part 1;General Notice 10/30/92 Employee Review of the New Standards of Conduct. _____
5. Do supervisors of all categories of personnel perform timely annual evaluations of employees in accordance with Post/and/or mission FSN procedures or other guidance as appropriate for each category of employee? (ADS 495.5.9) _____
6. a) Do all newly arrived employees receive an orientation to Post operations, country conditions etc.?
- b) Does orientation include, when appropriate, a health unit orientation? _____
- _____

7. Are all personnel/personal service contract records for all categories of personnel set-up, maintained and disposed of according to regulations? (ADS 500 series Chap.37,Appendix 6B; ADS 513.3 (7; 3FAM 2350; USAID HB32 chap.1, sec.1F; FSNPAH sec.14.5a.) In addition to contract and performance information do these files include:
 - a) Medical forms? _____
 - b) Beneficiary info? _____
 - c) Signed Acknowledgement of Employee's review of new standards of conduct? _____
 - d) emergency locator info? _____
 - e) completed check-in forms? _____
 - f) completed check-out forms? _____
8. If separate files are kept for PSC contracts and personnel matters, are important documents, eg, emergency locator cards cross-referenced for emergency access? _____
9. Are there mission orders on relevant personnel administration functions:
 - Recruitment and hiring procedures? _____
 - Promotion procedures? _____
 - Awards programs? _____
 - Performance evaluation programs? _____
 - Disciplinary procedures? _____
 - Attendance and leave? _____
 - Employee arrival/departure programs and procedures? _____
- 10 Does the mission review and follow current Agency guidance and when adding positions in any category? (General Notices: Workforce Ceiling Management) _____
- 11 Do all PSC personnel annually receive and submit a SF278 Public Financial Disclosure Report or OGE-450 Confidential Financial Disclosure Reports if appropriate for their position? (5 USC Sec. 101, 5 CFR part 2634, Ethics in Government Act 1978 as amended, CIB 93-17) _____

VIII K INTERNATIONAL COOPERATIVE ADMINISTRATIVE SUPPORT SERVICES (ICASS)

To be answered only if post is an ICASS provider or recipient of ICASS Services. All questions are taken from 6 FAH 5 (New Section, September 1998).

K-1 <u>GENERAL</u>	<u>YES/NO/NA</u>
1. Are services perceived as better or worse than before ICASS?	_____
2. Do you know who are the authorized users of ICASS services?	_____
3. Is the post's ICASS Budget available for review by the working group on a regular basis?	_____
4. Does the post working group meet regularly to discuss ICASS issues?	_____
5. Is the data to make rational decision on post operational changes current available?	_____
6. Has the efficiency, economy and effectiveness of Government operations improved at post as a result of ICASS?	_____
7. Have any functions previously handled by USG employees or PSC employees been contracted out?	_____
8. Have any positions been reduced as a result of ICASS?	_____
9. Have there been any reductions in real property as a result of ICASS?	_____
10. Have there been other savings such as bulk discounts consolidations of purchases?	_____
11. Have realistic targets been set by the DOS and other agencies regarding ICASS expenditures?	_____
12. Has post identified a means to fund equipment replacement of ICASS assets?	_____

13. Is post now adding amounts in its ICASS budgets for equipment replacements? _____
14. Have there been consolidation of service providers at mission as a result of ICASS? _____
15. Are mission councils evaluating proposals from outside contractors and other agencies to perform selected services? _____
16. Are all overhead and indirect costs considered in these proposals? _____
17. Are other agencies helping to explore cost saving options? _____
18. Do other agencies show commitment to trying to make ICASS work for all? _____
19. Do you know whether your Agency's baseline transfer from State Department was ever made? _____
20. Have any problems, such as accounting or software, been encountered in ICASS operations at post? _____
21. Is DOS Washington (ICASS Service Center) providing all of the support that is needed for ICASS? _____

IX L DISASTER RELIEF (New Section September 1998)

Unless otherwise noted, all references refer to INTERIM UPDATE #5, STATE 4994 98, ADS 251, OFDA Field Operations Guide

YES/NO/NA

1. a) Does the post have a designated mission Disaster Relief Officer (MDRO) complete with name, telephone numbers (DAY and NIGHT)? _____
b) Has this information been given and updated as necessary to the Office of Foreign Disaster Assistance (OFDA) in USAID/W and with the regional OFDA representative? _____
2. Does the MDRO know the appropriate regional OFDA office and other relief resources for the post? _____
3. Has a recent assessment been made of post's vulnerability to natural and man-made disasters and the information and logistical resources available to post in the event of a disaster? (Regional OFDA offices should assist in development and review of assessments to ensure uniformity and comprehensiveness.) _____
4. Does post have a mission Disaster Relief Plan (MDRP) and a Prevention, Mitigation and Preparedness (PMP) plan filed with the post's Emergency Action Plan (EAP)? (Regional OFDA offices should assist in development and review of MDRPs and PMPs to ensure uniformity and comprehensiveness.) _____
5. a) Are administrative staff trained and aware of their responsibilities in the event of a disaster in order to provide timely and consistent response to various disaster relief efforts, including support to disaster response teams (DART) as needed? _____
b) Are post management and technical staff, and the controller, procurement and administrative staff aware of their responsibilities to justify procurement, obtain receipts and other documentation and provide accountability for all uses of U.S. Government funds and property in the disaster relief efforts? _____

X M INFORMATION MANAGEMENT

YES/NO/NA

M-1 GENERAL

The following questions were taken from the "REXO/Budapest Assessment/Review Guide of EXO Operations

1. Is the mission using USAID standard software application? _____
2. Is the mission using USAID standard log-in procedure? _____
3. Is there adequate protection/procedures against virus? _____
4. Is there a backup procedure in place? _____
5. Off-site storage of backup media? _____
6. Is the network operating software up-to-date? _____
7. Games on the system? _____
8. Non-authorized/unofficial copies of software installed? _____
9. Adequate inventory of computer equipment? _____
- 10 Security of the core computer equipment, i.e. servers? _____
- 11 User password changed regularly? _____
- 12 Does the mission have documented operational procedures established such as: backup schedule, network/wiring diagram, VSAT cutover procedures, emergency phone numbers, procedures for responding to end-user requests for assistance, etc? _____

- 13 Does the mission have a Y2K plan in place: This plan should include an inventory of systems software as well as systems hardware. Has the inventory been reviewed for items that are considered critical to ongoing operations? Have measures been taken to insure that these items are being made Y2K compliant (rewrite of critical applications or replacements of HW/SW)? _____
- 14 Has the mission established a Technical Advisory Committee comprised of individuals responsible for each of the various offices? The purpose of this committee is to discuss and guide the future direction of mission ADP procurements based on automation requirements and IRM recommendations. As a result of this, has the mission established an ADP Procurement Plan? _____
- 15 Is the network installed in accordance with published IRM/TCO Standard Network Operations Guidelines (this document can be found on the IRM Website, or can be requested from IRM/TCO)? _____
- 16 Is there a regular means of communication (such as weekly staff meetings) between the ADP staff and mission Management (EXO)? Are goals set and plans in place for obtaining these goals? Are monthly status reports provided by ADP staff to Management reflecting progress made on ADP plan? _____
- 17 Does the mission maintain a spare parts inventory? _____
- 18 Does mission have maintenance contract for hardware/software support not provided by M/IRM? _____

M-2 INFORMATION SECURITY

YES/NO/NA

1. Who serves as the mission's System Administrator? (ADS 551.5) _____
2. Is a direct hire responsible for supervising the Systems Administrator and the mission's Automated Information Systems (AIS) program? (ADS 551.5.2) _____
3. Is this direct hire person knowledgeable of AIS programs? (ADS 551.5.2c) _____

4. Has the mission designated an Information Systems Security Officer?
(ADS 551.5.2) _____
5. If yes, name the officer and the position he/she encumbers.

6. Are sensitive but unclassified (SBU) documents being written to
floppy diskettes? (ADS 551.5.5c) _____
7. If written to a diskette, are these diskettes stored in locked containers?
(ADS 551.5.5c) _____
8. Has the mission written guidance regarding the processing of SBU
information on automated information systems? (ADS 551.5) _____
9. Does the mission have CERTIFIED systems to process classified
information? (ADS 551.5.3b, 5.7e) _____
- 10 Do mission personnel process classified information on any office
system other than TEMPEST or approved non-tempest systems?
(ADS 551.5.3b) _____
- 11 Do mission personnel who do not have an official security clearance,
process classified information? (ADS 551.5.2e) _____
- 12 If yes, explain. _____
- 13 Does mission have a Mission Order in place regarding the processing
of classified information? (ADS 551.5.3b) _____
- 14 Is information that comes into the mission through external links
"firewall" protected? _____
- 15 Does each mission staff member have his/her own unique user ID and
password? (ADS 551.5.5d) _____
- 16 Are user passwords for the local area network (LAN) and/or VS
changed on a regular basis? (ADS 551.5.5d) _____
- 17 Do mission personnel share their user IDs and Passwords? (ADS
551.5.5d) _____

- 18 Do users log off their systems when they are away from their work area? (ADS 551.5.5d) _____
- 19 Are user profiles and/or access rights set up on a need-to-know basis? (ADS 551.5) _____
- 20 When an employee is terminated, is their user ID and password promptly removed from the mission's automated systems? (ADS 551.5.5d) _____
- 21 Are files backed up on mission LAN servers, VS systems, Sun, RISC, UNIX boxes? (ADS 551.5.5d) _____
- 22 Does the mission have a complete system backup stored offsite? (ADS 551.5.5d) _____
- 23 Are users backing up their stand alone PC hard drives? (ADS 551.5.5d) _____
- 24 Is only mission procured software installed on mission systems? (ADS 551.5.5b) _____
- 25 Are copyright laws followed? (ADS 551.5.5b) _____
- 26 Does the mission provide security awareness training regarding the proper use of mission automated information systems? (ADS 551.5.1a) _____
- 27 Does the RSO provide any security awareness training? (EO 12958) _____
- 28 Is mission equipment adequately protected from theft and unauthorized access? (ADS 551.5.1d) _____
- 29 Does the mission restrict TDY access to its primary information systems, e.g., LAN or VS? (ADS 551.5.3c) _____
- 30 Does the mission maintain detailed hardware inventory with description, model numbers and serial numbers for each item? _____
- 31 Has the mission developed disaster recovery plans for each of its critical information systems? _____

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